

Fund for the City of New York



Board of Directors

1975-76

Benno C. Schmidt

Joyce Phillips Austin

Victor H. Gotbaum

Seymour Graubard

Alton G. Marshall

Basil A. Paterson

Frederick A.O. Schwarz Jr.

Herbert Sturz

Doris L. Wethers

Richard C. Wade

1976-77

Joyce Phillips Austin

Victor H. Gotbaum

Seymour Graubard

Alton G. Marshall

Frederick A.O. Schwarz Jr.

Doris L. Wethers

Richard C. Wade

1977-78

Joyce Phillips Austin

Alton G. Marshall

Frederick A.O. Schwarz Jr.

Doris L. Wethers

Richard C. Wade

Amalia V. Betanzos

Edward N. Costikyan

Rev. Joseph M. Sullivan

Gus Tyler

Martin E. Segal

Bold type indicates chairman

The Fund's bylaws provide for a board with gradually changing membership. Members serve a maximum of three three-year terms. Over the past three years, this provision, together with the call of public office, has caused the Fund to lose the last of the members who made up the Fund's original board ten years ago, and to acquire a second generation of leaders. Among those who left the board in the years 1975-1978 were several of those who have done the most to establish the Fund and give it its original shape and direction. The work reported on in these pages was accomplished in large part because of their actions and judgments. This report is dedicated to them:

Benno C. Schmidt, *Chairman 1968-1977*

Herbert Sturz, *Treasurer, 1968-1977*

Victor H. Gotbaum, *Member 1968-1978*

Basil A. Paterson, *Member 1973-1977*

Seymour Graubard, *Member, 1968-78, Chairman 1978*

CONTENTS

OPPORTUNITIES TO IMPROVE THE PERFORMANCE OF GOVERNMENT	3
GRANTS AND PROJECTS	15
<i>Children and Youth</i>	15
<i>Criminal Justice</i>	20
<i>Cultural Affairs</i>	24
<i>Programs for the Elderly</i>	25
<i>Employment, Education, and Welfare</i>	27
<i>Energy and the Environment</i>	30
<i>Fiscal Affairs</i>	33
<i>Health</i>	36
<i>Housing, Planning, and Development</i>	39
<i>The Public Workforce</i>	48
<i>State and Regional Issues</i>	50
<i>Streets, Sidewalks, and Parks</i>	52
<i>Miscellaneous Projects</i>	55
THE FUND'S CASH FLOW LOAN PROGRAM	62
REPORT OF INDEPENDENT ACCOUNTANTS	89
REPORTS ISSUED AND SUPPORTED BY THE FUND FOR THE CITY OF NEW YORK	94

offsite

JS

1221

.F8

1975/1978

AVERY ARCHITECTURAL AND FINE ARTS LIBRARY

GIFT OF SEYMOUR B. DURST OLD YORK LIBRARY

OPPORTUNITIES TO IMPROVE THE PERFORMANCE OF GOVERNMENT

and other grants and projects
1975–1978

This is a report on three years' activity of the Fund for the City of New York. The Fund is a private operating foundation (chartered under Sections 501(c)(3), 509(a) and 4942(j)(3) of the Internal Revenue Code), established by the Ford Foundation in 1968 as an independent entity which would be "alert to the problems of New York City and to opportunities to improve the performance of government and government-related activities." The Ford Foundation has granted the Fund approximately \$1 million annually for the ten years from 1968 to 1978, which include the three years covered in this report. The Fund uses these dollars both to make grants to public and private agencies and, where appropriate, to carry out projects directly. Other support has come to the Fund from federal, state, and local government and from other foundations and charitable organizations, which have made grants and contributions to the Fund as a way of supporting the city generally or certain projects in particular.

In the three years reported on here, private foundation supporters of Fund-operated projects have included the Commonwealth Fund, the Robert Wood Johnson Foundation, the New York Community Trust, the Exxon Foundation, the Russell Sage Foundation, the Florence Burden Foundation, the Fund for New Jersey, the Bridgeport Area Foundation, and the Suisman Foundation. Government support has come from the New York City Departments of Sanitation, Parks, Transportation and Employment, and the Human Resources Administration, and from the New York State Departments of Health and Social Services and the Federal Environmental Protection Agency.

We welcome inquiries from organizations and individuals who, upon reading this report, may want to consider making contributions to the city's betterment through the Fund.

The Fund works closely with government; its program has essentially to do with government's response to events and conditions important to life in New York City. During the years 1975-1978, in which the grants and projects reports here were undertaken, New York City faced a severe threat to its financial survival, and made a comeback; it began to grapple seriously with what the magazine *New York Affairs* called "The New Politics of Less."

... heavy rates of inflation and a moribund national economy in the early 1970s peeled off optimism's protective padding, and the city suddenly was nose-to-nose with the spectre of municipal bankruptcy.

In April 1975, New York City's fiscal crisis was made manifest when the banks refused to lend the city any more money and the city did not have enough in hand to pay its employees and meet its other bills. For some years the city had spent more than it took in, and had covered the differences with short-term borrowing. But heavy rates of inflation and a moribund national economy in the early 1970s peeled off optimism's protective padding, and the city suddenly was nose-to-nose with the spectre of municipal bankruptcy. Bankruptcy was averted, however. The state government moved in quickly to set up special instruments—like the Municipal Assistance Corporation and the Emergency Financial Control Board—to help the city market its bonds and control its expenditures.

The structure of government changed. The city became to an unprecedented degree dependent on the banks; and state officials, union leaders, bankers, and executives of large corporations came together to try to work out means of ensuring the city's financial survival. One of the participants was quoted as saying this was "the first time a government commune had been organized in America on such a large scale."

New York's fiscal crisis was felt around the world. The city's finances were tied closely to those of the state, and it was widely feared that a collapse in the city's credit would trigger similar collapses in the state (whose Urban Development Corporation defaulted on an \$100 million bond anticipation note in early 1975) and in financial markets both in the United States and abroad. At one point, West German Chancellor Erhard urged President Ford, in the interest of preserving international financial stability, to give more solid support to the city in its time of troubles.

The fiscal crisis had flattened out into a continuous pressure, part of the natural condition of governmental, political, and civic life.

By the end of 1978, the sense of crisis had abated, though the fiscal facts were still grim. The Financial Control Board was still in place, overseeing city expenditures, but the word "Emergency" had been removed from its title in September of that year. The city had laid off tens of thousands of its employees, installed a new financial management system, and cut back on many of its programs. But, as Senator Proxmire, Chairman of the Senate Committee on Banking and Finance, could be counted on to point out, the city still had a long way to go. The budget cuts made by the city in 1976-1978 amounted to \$480 million and resulted in about 60,000 fewer jobs, but Senator Proxmire and others were saying that the pace was too slow and that additional cuts of \$375 million would have to be made if the city were to bring its books into balance by 1981, the date set by Congress when it approved the final package of federal loan guarantees. While public awareness of the fiscal crisis had come suddenly, precipitated by the bankers' refusal to market city bonds in the spring of 1975, the condition

Despite the blackout of July 1977 and the looting which followed, serious crime was down in the city over the three-year period, and foreign visitors reported that the streets of New York seemed safer than they had been.

which had produced the crisis had built up over a number of years, and it was apparent that it would take a number of years to change them. The fiscal crisis had flattened out into a continuous pressure, part of the natural condition of governmental, political, and civic life.

The city's prospects and its public image were perhaps at their dimmest in 1975. By the end of 1978, they had brightened considerably, primarily because of a degree of recovery in the national economy. Also, the softness of the American dollar in world currency markets, and the relative stability of the American political and social system had made the United States an attractive place to invest foreign capital. New York, a world city, cosmopolitan and rich in cultural offerings, was a particularly powerful magnet for Asian and European investors. Tourism boomed, with visitor spending hitting an all-time high of \$1.8 billion in 1978, up 30 percent from 1975. The demand for Manhattan office space and for Manhattan hotel rooms exceeded the supply, and in April 1978, the *New York Times* reported an increase rather than a loss in jobs in the city for the first time in eight years. In 1976, the stunning success of the Tall Ships Bicentennial Celebration gave a substantial boost to the city's morale and its image. The Democratic Convention in Madison Square Garden later in the summer brought more favorable attention to the city that year, at least as a nice place to visit. Despite the blackout of July 1977 and the looting which followed, serious crime was down in the city over the three-year period, and foreign visitors reported that the streets of New York seemed safer than they had been.

These years included the last two of the Administration of Mayor Abraham Beame and the first of Mayor Edward Koch. Hugh Carey was Governor of the State of New York, running successfully for re-election in 1978; and Jimmy Carter replaced Gerald Ford as President of the United States in January, 1977, drawing attention to the South Bronx with a surprise visit there in October of the same year. A new City Charter was adopted in 1975 and was to go into effect in 1977. Among other things, it called for decentralization of the budgeting and administration of city services under local Community Boards and, to make this possible, redrawing and matching the boundaries of different agencies' local service districts.

The city had, willy-nilly, to respond to the imperatives of the fiscal crisis, to make the cuts, the layoffs, and the rest. One question was whether or not it would also be able to take advantage of its opportunities. While the city probably had fewer policemen, firemen, and other essential employees than it needed, there was clearly room for improvement in the effective use of the employees it had. Perhaps the fiscal crisis would provide the jolt and stimulate the political support needed to rid the city government of some of its accretions of waste and irrationality. Management experts, looking at city operations, would say that in many instances it should be possible to do better even with less. Possible, perhaps, but very, very difficult. The New York City government, like most state and local governments in the country, wasn't geared to reducing and cutting back, its experience having been largely in the opposite direction. Its management capacity was thin

The streets got gradually dirtier, and in other ways other things here and there got a little worse. But they also got better.

even for carrying out routine operations, and the most politically palatable ways of making cuts, such as attrition, were likely to inhibit productivity improvement rather than encourage it. Further, the federal government offered local governments no significant help in reducing expenditures intelligently, or in exacting greater productivity from expenditures made, its procedures and incentive systems also having been established in more expansionist times.

There seemed to be two possible outcomes for the city: either the cuts and layoffs would produce lower levels of service—dirtier streets, less adequate schools and health care, and pervasive malaise—or a mobilization of will and ingenuity to do better. What happened in 1975-78 was a bit of both. The streets got gradually dirtier, and in other ways other things here and there got a little worse. But they also got better. Among other things, a new law requiring dog owners to clean up after their pets actually seemed to work, and there were other encouraging signs from the new community boards and other local self-help groups, and from such institu-

tions as the New York Public Library, that the rude confrontation with fiscal realities had in some ways strengthened citizen resolve and stimulated institutions to be both more creative and more disciplined.

Concentration on Government Productivity and Performance Improvement

The Fund had decided in 1973 to concentrate a substantial portion of its program on projects to improve government productivity, and the fiscal crisis quite naturally reinforced this decision, and made it appear even more timely. During the three years reported on here, the Fund put more than half its resources into projects directly aimed at increasing the performance, productivity, and accountability of government agencies.

It is not clear to managers and workers at many levels of government what it is, exactly, they are supposed to do; what standards they are expected to meet; or how they or anyone else can fairly judge to what degree they are meeting them.

One important reason public administrative and service delivery machinery doesn't work very well is its lack of accountability, of standards and measures that would allow one to distinguish, say, between a sanitation district that does the most with the resources it has, and one that doesn't, between hospitals and welfare offices and schools that work well, and those that don't. It is not clear to managers and workers at many levels of government what it is, exactly, they are supposed to do; what standards they are expected to meet; or how they or anyone else can fairly judge to what degree they are meeting them.

The Fund chose to concentrate its productivity improvement work on just this aspect of the problem, and to help government and citizen and public interest groups develop, test, refine, and use explicit standards and measures of government performance, and at the same time to probe the possibilities and practical constraints of this particular approach to government productivity improvement. It seemed a particularly promising approach: if clearer standards and better performance measures could be designed so that the right things were counted, if reliable, telling, and timely information could be put in the hands of public managers and in the hands of the public, and if this information were used to produce a better day-to-day, month-to-month, year-to-year accounting and management of government's business, then performance should improve. Such an approach was appropriate to the Fund's size and position—independent of government but working closely alongside it. It was a narrow enough field of activity that the Fund, even with its relatively modest resources, might

One idea that has found surprisingly broad application in the Fund's productivity projects is the use of procedural standards, or protocols, which, embodied in guidelines and reporting routines, can be powerful tools both for making performance standards clear and for ensuring closer compliance with them.

hope to become relatively expert in it, and even to make new contributions; yet it was central enough to the basic issue of government performance that any substantial success would have meaning and leverage.

At the outset, problems of technical feasibility and political acceptance seemed most basic. Could explicit, appropriate, definable standards and measures really be devised? Would they stand up under validity and reliability tests? Would they be accepted and credited by those whose work would be measured by them? Could they be organized into systems that could be used and that could be carried on at tolerable cost?

Conventional wisdom held that it was probably possible to construct valid and acceptable standards and measures for the tangible services like street cleaning, garbage collection, and pothole repair, and that it was probably impossible to do the same for "softer" social services like health, education, and welfare. The Fund's work shows, in fact, that explicit standards and measures for both hard and soft functions can be extracted from observation of current practice and from expert opinion. One idea that has found surprisingly broad application in the Fund's productivity projects is the use of procedural standards, or protocols, which, embodied in guidelines and reporting routines, can be powerful tools both for making performance standards clear and for ensuring closer compliance with them.

The basic question now seems to be not whether such tools can be devised, but how well, on how sustained a basis, and to what effect they will be used.

... productivity innovations in state and local government are so rare as almost to qualify as "unnatural acts."

Foundations and good government organizations have not in general been very effective in bringing about the public reforms they study, seek, and recommend. One apparent reason for this is that most such organizations stop with analysis and recommendations, and most such recommendations, therefore, wind up as studies on the shelf. On the face of it, it is perhaps reasonable to assume that once a situation is analyzed and a set of recommendations made, the normal government apparatus should be able to take it from there. Of course, sometimes it does; but not often. There is

The need of the city government for more capacity to carry out and to pursue the good ideas that have been or may be proposed is much more striking than its need for more good ideas.

something missing, a patient intermediary between the new idea and the old way of doing things, a broker to pursue the recommendations through to application, adjustment, reapplication and the rest.

Part of the problem is that the government environment is not usually one in which innovation pays off for the innovator. Frederick O'R. Hayes, former New York City Budget Director and author of two books on productivity in state and local government, has remarked that productivity innovations in state and local government are so rare as almost to qualify as "unnatural acts." Indeed, it is difficult to think of any substantial innovations in the New York City government that were not organized on a special, separate, project basis, and in various ways insulated through stages of design, development, and implementation from the normal pressures and routines of doing government business.

The need of the city government for more capacity to carry out and to pursue the good ideas that have been or may be proposed is much more striking than its need for more good ideas. In the Fund's productivity program in particular, but in the rest of our program as well, we have, therefore, like the architect who is sentenced to live for a time in the buildings he designs, tried to pursue the real-life applications of the ideas our grants and projects have developed. It has seemed to us, that it is here—with the *application* of new ideas—that some of the knottiest problems of municipal government lie and where the need for innovation and special assistance of the kind foundations can offer may be greatest. Consequently, we believe this is where an organization like ours might have the greatest possible beneficial impact. At the same time, this kind of pursuit is expensive, and our resources are limited. We have therefore limited the areas and the purposes to which we would apply our resources.

Rapid turnover and shifting circumstances . . . make efforts to institutionalize innovations seem sometimes like the work of Sisyphus.

We have tried to use our money for those things which government is least able to finance for itself: research into new and unproven ideas, small-scale demonstrations, the application of special expertise to particular problems, and evaluation and monitoring activities in which independent, outside views are necessary or desirable. At the same time, we have tried to avoid using the Fund's scarce private resources for activities that could be financed with public dollars.

We are, particularly in our productivity projects, the direct operators of programs as well as grant-makers. We have tried to be selective not only in choosing projects but in choosing agencies and individuals with whom to work, because nothing has proven so critical to the success of these efforts as the interested and effective attention of capable officials over time. Rapid turnover and shifting circumstances in the government play havoc with such careful selections, however, and make efforts to institutionalize innovations seem sometimes like the work of Sisyphus. But, as King Arthur said in *Camelot* when Lancelot found the King and the knights of the Round Table picking flowers in the fields, "Somebody's got to do it."

We have tried to select just a few areas and work on them long enough to become experienced and to see results. We have preferred to start small, with fairly narrow and specific problems, and to expand our work as suggested by evidence in the field.

Stages of Development

When a promising project is suggested and approved, the Fund typically invests a small amount of money and staff time in a preliminary investigation. This work is usually done by Fund staff and consultants over a period of one to three months, in collaboration with appropriate government officials and other knowledgeable persons. If preliminary results are favorable, the Fund then draws up a plan for developing, field-testing, refining and implementing performance standards and measures appropriate to the functions of the agency. This second stage is usually supported by funds from the Fund, from the agency, and sometimes from other foundations. It can last from three months for a relatively simple project to two years or more for complex projects in which new development tasks are regularly added to the agenda as they are suggested by the work in progress. A third stage involves implementing the standards and monitoring systems. During this stage, the Fund helps the agency make any necessary adjustments in the systems and advises on how to exploit them fully as management tools.

The success we have had to date has occurred in situations where we have been able to establish cooperative relationships with government, and where government has taken an active interest in using the tools developed in this work to manage its programs more effectively. We have tried to select just a few areas and work on them long enough to become experienced and to see results. We have preferred to start small, with fairly narrow and specific problems, and to expand our work as suggested by evidence in the field.

In the following section on grants and projects, those undertaken

through the Fund's government productivity improvement program are indicated thus: ♦

Other Programs

The Fund's interest in productivity improvement colors its entire program; and many of the project reports *not* marked ♦ in the following section are related to productivity. Yet we also invest in promising projects for other reasons. In general, the Fund looks for leverage in its grant-making, for situations in which its relatively small amount of money can be used to do more than a small amount of good. One such situation occurs when non-profit organizations dependent on government funds face delays in contract processing and payment. Unfortunately, this is a frequent occurrence, and, in response to it, the Fund started a Cash-Flow Loan Program in late 1975, with \$100,000 set aside to cover short-term, interest-free loans of up to \$10,000 to groups stymied by contract processing delays. By the end of September 1978, the Fund had made 148 such loans for a total of \$1,064,700, and Chemical Bank, the Community Service Society, and the Exxon Foundation had added to the loan pool with loans and grants. There were no defaults. A full report on the loan program appears in a later section.

Examples of other promising projects selected by the Fund for support in this period include:

The Lower East Side Family Union, a model project to organize and deliver assistance to families at risk of losing their children to foster care institutions. It is demonstrating the means through which an ounce of prevention can be both more effective and less expensive than a pound of cure.

The Empire State Report, an investigative journal reporting regularly on the New York state government, where so much of the business of government affecting New York City is conducted.

The community-based housing movement, which, through the efforts of several dozen organizations, is testing the potential for tenant management, tenant ownership, and self-help in revitalizing the city's neighborhoods and reconditioning its housing.

Within the general area of concentration on New York City, and taking into account our tilt towards public productivity improvement, these, generally, are the Fund's criteria for making grants and choosing projects:

We do not cover the deficits of ongoing programs or the simple expansion of such programs, or finance projects that are part of the normal expenses of government.

We do not assume long-term funding responsibilities for any group or project.

We do not finance studies where the potential users of such studies have not indicated their interest and capacity for acting on their findings.

On the other hand,

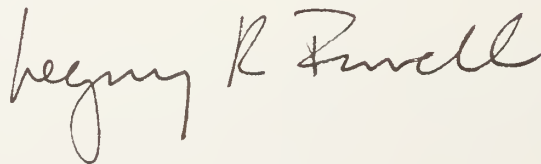
We do look for promising new ideas, projects, and leaders, and for opportunities where private help will make public resources go farther and do better.

We seek leverage in the use of our resources, opportunities for testing or setting in motion ideas and activities that can affect the ways entire systems are organized. We try to find situations where our resources can help mobilize other resources in support of the chosen projects and programs.

We study particularly promising areas in some depth, over sustained periods of time.

We look for tangible results.

In the descriptions of grants and projects that follow, we have tried to be more than usually diligent in describing why we decided to invest where we did, and what happened, or didn't, after the grant was made. Grants and projects in the Fund's productivity and general programs are presented together under broad subject areas: Children and Youth, Housing, Planning and Development, the Public Workforce, and so on. The Cash-Flow Loan Program is described in a subsequent section.

A handwritten signature in dark ink, reading "Gregory R. Farrell". The signature is fluid and cursive, with the first name "Gregory" written in a larger, more prominent script than the last name "Farrell".

GREGORY R. FARRELL
EXECUTIVE DIRECTOR,
FUND FOR THE CITY OF NEW YORK



GRANTS &
PROJECTS

CETA CONTRACT
MANAGEMENT

SCORECARD

CASH FLOW
LOANS

GREEN MARKET

URBAN
HOMESTEADING

HEALTH CARE
QUALITY
PROJECT

Vicki 1979

Children and Youth



The Fund is interested in helping the city make fundamental improvements in its public and private systems that deal with children in trouble. The Child Welfare Indicators, Foster Care Tracking, and Lower East Side Family Union projects reported on below are related attempts to introduce more accountability into the foster care system, encourage more adoption and family cohesion, and reduce the amount and duration of foster care. The Child Abuse and Neglect studies have sought to find means for identifying cases most likely to repeat, so that the city's casework and services can be concentrated where they might do the most good. These projects constitute the center of the Fund's program in Children and Youth over the three years from 1975-78, though other grants and projects have also been conducted, including several that attempt to improve nutrition and feeding programs in the city. Some of the Fund's work with youth has concentrated on delinquency and on violent youthful offenders, and that work is reported on in the section on Criminal Justice.

Child Welfare Indicators and Foster Care Tracking Projects*

\$50,000 - 1976
\$50,000 - 1977
\$69,000 - 1978

Over the past three years, the Fund has helped develop indicators of how well child welfare agencies perform in securing permanent homes for children in care. The Child Welfare Indicators Project was developed initially by the Fund and is now operated by the New York State Board of Social Welfare. Through the Child Welfare Information Service (CWIS), the project now produces quarterly reports which assess the comparative performance of agencies in freeing children for and arranging adoptions, returning children to their families, and minimizing the number of placement transfers for children remaining in care.

While these reports are an important first step in developing a system of agency accountability, they are only a first step, and in February 1978, the city's Department of Special Services for Children (SSC) asked the Fund to recommend what data elements should be added to and deleted from CWIS and how data should be organized to make it make more useful for management purposes. Shortly after this request was made, SSC decided it would not attempt such a revision of CWIS and that it would instead build a new information system to be operated by SSC to meet all of its management needs. At this point, the Fund redirected its efforts to the design of the new information system.

The Fund has produced specifications for an information system that would enable SSC to track individual children in foster care and check whether they are being moved expeditiously toward permanent homes. In developing this system, the Fund first identified two desirable goals: first, for purposes of efficiency and speed, only a relatively small amount of information should be collected on each child; and, second, the information collected should nevertheless be sufficient to show whether a child's progress to a permanent home is being delayed. The Fund therefore designed the system as a series of decisions to be made about each child, with each decision moving the child closer to a permanent home.

The Fund's study argues that, by requiring information about these decisions and by requiring that decisions be made within fixed time limits, SSC can hold caseworkers accountable for the progress—or non-progress—of individual children. Each child's progress would be reviewed every six months, or more often if necessary, at which time the caseworker would be required to make additional decisions about the child, explain why earlier choices may need modification, and summarize what progress has been made. The system would also include a mechanism for the continual review of each child's ability to live in a conventional home or home-like setting.

In September 1978 the Fund presented SSC with a draft report describing the new system. SSC anticipates that in the short run it will be able to use the proposed data elements in the new system it is developing, and that in 1979 it will decide whether to adopt the conceptual framework—decision tracking—into its new system.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Lower East Side Family Union: Program Support

\$25,000 – 1976
\$25,000 – 1977

The Lower East Side Family Union (LESFU) was established in 1972 to develop a more humane, less costly, and more effective alternative to the foster care system. LESFU sought to deal with the problems of families before their children were put into foster care. It found that most problem families on the Lower East Side were already known to local agencies, and that the problem was not the absence of services, but the failure to provide them in a coordinated and consistent fashion.

To solve this problem, LESFU developed a case management approach which employed well-trained teams operating in four different areas of the Lower East Side. The teams include a social worker/team leader, a social work associate, and homemakers.

When a family comes to its local team for help, a specific associate is assigned to coordinate and monitor the services the family needs. LESFU assumes responsibility for integrating the delivery of services provided by various agencies, ranging from hospitals and schools to settlement houses and local clinics. Through LESFU, each participating agency and each family agree to a contract that spells out the responsibilities of all concerned parties, and LESFU works with both the families and the agencies to make sure that the contract is followed. When appropriate, LESFU itself provides services such as home-making assistance.

Part of what LESFU set out to prove was that this approach could also be used by government agencies concerned with the prevention of family disintegration. To demonstrate this, one of LESFU's teams is made up entirely of city workers on loan to the program. The results have been striking, with the city team performing as effectively as LESFU's other teams.

Since the Fund's initial grant of \$25,000 in 1974, the Family Union has made real progress toward proving that its family-centered, community-based approach to the needs of disordered families works. In 1976, for example, 390 families, of which 141 were "high risk," were served at a cost of under \$1,500 per family. During this period fewer than ten foster care placements were required, and many of them were only short-term. Although statistical comparisons are difficult to make, there is little doubt that the LESFU approach compares very favorably with foster-care placement, where costs range between \$5,000 and \$20,000 per child per year.

The Fund has made a total of three \$25,000 grants to LESFU to cover administrative costs, and has also assisted LESFU in program design and in its attempt to locate on-going government support.

For further information: Alfred Herbert, Executive Director, Lower East Side Family Union, 91 Canal Street, New York, N.Y. 10002.

Child Abuse and Neglect Studies*

\$15,000 – 1976
\$40,000 – 1977
\$42,800 – 1978

During the past three years, the Fund has made several studies of child abuse and neglect. In 1976 the Fund undertook a preliminary study of child abuse and neglect, and developed a protocol for detecting child abuse in pediatric emergency departments; in 1977, at the request of the First Deputy Mayor's Office of Special

Services for Children (SSC), the Fund studied SSC's management of abuse cases; and in 1978, the Fund performed a detailed investigation of the characteristics of families repeatedly reported for abuse and neglect. As a result of the latter two studies, SSC plans to develop and implement, in 1979, a screening device to identify high-risk cases of abuse and neglect at the time of the first report.

In the pediatric emergency study, the Fund worked with physicians at King's County Hospital to construct a protocol for the medical detection of child abuse. The protocol was applied retrospectively to a sample of patient charts from the Kings County Pediatric Emergency Department. The study found that patient charts contained such inadequate documentation of relevant findings that it was impossible either to confirm or to rule out a diagnosis of child abuse in most cases. It also found considerable physician resistance to reporting child abuse, based on misunderstanding of the legal mandate to do so, a reluctance to harass families, a lack of confidence that anything effective would be done by the responsible government agencies, and a general unwillingness to get involved.

The case management study performed for SSC investigated the adequacy of case management when reports of child abuse were received. It was found that SSC responded to reports of abuse in a generally efficient manner, and most thoroughly and quickly in cases when a child was badly injured or had been previously abused.

The Fund study suggested that risk of harm to a child be used more explicitly as the criterion for focusing agency resources where they are most needed and for closing cases when continued risk is not great. The study also suggested that high-risk cases could be identified by scanning the information on the New York State intake form for reporting child abuse or neglect (form DSS-2221). SSC asked the Fund to study a sample of cases to determine what kinds of information are statistically reliable indicators of repeated abuse or neglect.

The Fund reviewed a sample of 169 multiple-report cases in SSC's files, and found that families most likely to be re-reported for abuse or neglect can be identified at the first report. The intake form information which most reliably predicts repeated abuse or neglect includes the following: allegations of serious harm to younger children, particularly when there are several charges of injury; charges that several children have been harmed; lack of any adults in the household other than those cited as perpetrators; notations on the form indicating that the parents' behavior was bizarre or influenced by drugs; and allegations of neglect rather than abuse.

The Fund study also sought to evaluate SSC response to cases of abuse and neglect. The response varied, since abuse and neglect cases are treated differently: charges of abuse are much more likely to be confirmed and to result in some official action; also, abused children receive more services and are more likely to be taken into protective custody than neglected children. The study's findings include the following:

- Fulfillment of the New York State legal requirement that an investigation of charges be conducted within 24 hours seems to have no effect on the likelihood of repeated reports of abuse or neglect within a family.
- Taking a child into protective custody apparently has no effect on the likelihood of repeated abuse or neglect within a family.

- Charges of neglect recur more frequently than charges of abuse, apparently regardless of agency response.
- The most significant factor in reducing the likelihood of repeated abuse or neglect is good investigative casework and the delivery of significant services after the first reported incident.

SSC plans to develop a method of identifying high-risk cases at intake, based on the findings of this study, so that caseworkers' attention can be directed immediately toward children most in need of services.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Supplemental Security Income Project*

\$9,000 - 1978

The city estimates that approximately 30,000 children are eligible for, but not registered for and receiving benefits under, the Supplemental Security Income (SSI) program. During 1978-79 the city plans to save several million dollars and increase benefit levels to a substantial number of these children by transferring them from the Aid to Families With Dependent Children (AFDC) program to SSI. SSI benefits are somewhat greater than AFDC benefits and are provided almost entirely by the federal government, with a small state supplement. AFDC support is shared by the city (25 percent), state (25 percent), and the federal government (50 percent). Children are eligible for SSI who have a physical or mental impairment which, in an adult, would prohibit any substantial gainful activity. Detailed regulations amplify this definition of disability.

The New York City Human Resources Administration (HRA) asked the Fund's assistance in June 1978 in designing effective and acceptable means for finding and encouraging those who might be eligible for SSI to apply and be registered for SSI benefits. Working with local, state, and federal officials, the Fund mapped out the complex SSI eligibility procedure as it currently exists, and made recommendations for changes aimed at increasing the number and rate of acceptance of HRA referrals to SSI. On the grounds that the current medical-diagnostic disability criteria are not very good ones for the purposes of the SSI program and are likely to deny SSI benefits to children who are functionally disabled but whose disabilities do not meet established medical criteria, the Fund proposed that the program revise the criteria to take into account children's functional limitations.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Consultant Assistance for the New York Office of Special Services for Children

\$3,000 - 1976
\$3,000 - 1977

In February 1976 the Fund made a grant of \$3,000 to allow Special Services for Children (SSC) a division of the City's Human Resources Administration, to retain the part-time services of Selma Tierstein, who was retiring from the legal office of the Department of Social Services after 37 years of service. The Human

Resources Administration felt her complete departure would seriously impair the work of the agency.

As a part-time special consultant, Mrs. Tierstein worked on problems related to adoption, termination of parental rights, habeas corpus, guardianship, and foster care. She also consulted with officials of the State Department of Social Services on the implementation of legislative amendments to the Social Services Law, and advised SSC hearing officers on subjects related to due process and the legal rights of parents, children, and foster parents. The Fund continued its support of Mrs. Tierstein's work at SSC with an additional \$3,000 grant in March 1977.

For further information: Beverly Sanders, Assistant Commissioner, Special Services for Children, 80 Lafayette Street, New York, N.Y. 10013.

Children's Issues Advocacy Program

\$10,000 - 1976

Advocates for Children of New York (ACNY) was established in the fall of 1976 to deal with the problems of emotionally and socially handicapped youngsters. ACNY provides direct services to individual children and conducts an advocacy program which seeks to bring about policy and program changes in the delivery systems of special education, mental health, and child care in New York City.

ACNY's direct services include: representing students in suspension proceedings; representing handicapped children in obtaining suitable and appropriate educational services; and acting to protect students from inaccurate or harmful labeling in school records. ACNY also operates the Martin de Porres School, which was established to provide day treatment for poor, emotionally disturbed youth, many of whom have been permanently suspended from public schools. The school serves about 110 youngsters who have problems too severe for them to be maintained at home.

ACNY recognizes that it hasn't the capacity to work directly with all students who require either individual case advocacy or the specialized educational services which ACNY offers. Therefore, it works with private and public institutions to encourage the formation of responsive and appropriate programs for these youngsters. The goal is to stimulate action to help children who need special educational, legal, and therapeutic services. The goal is pursued by representing these children before government agencies, legislators, and other social service groups. The Fund's grant supported this activity.

The program's current agenda includes: suspensions, high school absenteeism, and equal educational opportunities for the handicapped.

For further information: Miriam Thompson, Executive Director, Advocates for Children, 29-28 41 Street, Long Island, N.Y. 11101.

Asphalt Plant Youth Center

\$15,000 - 1976

Several acres of cement parking lot surrounding the abandoned asphalt mixing plant at York Avenue and 91st Street were put under community care in 1973. A broad coalition of community groups raised enough money to pay for the break up and removal of the parking lot surface. With contributions of topsoil and trees

from the Parks Department, community volunteers then landscaped and seeded the area with grass, to create the only grass playing fields on the East Side of Manhattan between 10th and 112th Streets. Re-named the Asphalt Green, the area was opened to organized teams from public, private, and church schools and youth centers in the surrounding community. The community also raised sufficient funds to provide a part-time youth director to coordinate the use of the fields.

In the spring of 1976 the Neighborhood Committee for the Asphalt Green asked the Fund to support the next step in the development of the site—the demolition of the interior of the asphalt mixing plant in preparation for its re-design as a community center with an indoor gymnasium and arts and crafts workshops. The asphalt plant, a parabolic arch built of reinforced concrete, is a unique structure in the city and has been designated an architectural landmark by the Landmarks Preservation Committee. The Fund offered a grant of \$15,000 to be made available when the Committee had raised sufficient collaborative funding to begin some definitive phase of the renovation.

During 1976 another neighborhood landmark, the fire-boathouse and pier just north of Gracie Mansion and adjacent to the Asphalt Green, was closed by the Fire Department. In March 1977 the Fund agreed that the Neighborhood Committee could divert half of the Fund's grant for renovation of the fire-boathouse as an additional workshop facility.

By September 1977 the Neighborhood Committee had raised \$75,000, and a contract was signed for demolition of the interior of the asphalt plant building. This work was completed by the following February, and the Committee is now searching for funds to undertake the renovation, which it anticipates may cost one million dollars.

For further information: Dr. George E. Murphy, Chairman, Neighborhood Committee for Asphalt Green, 130 East End Avenue, New York, N.Y. 10028.

The Fresh Air Fund: Reinvitation Project

\$5,000 – 1977

In the fall of 1976, the Fresh Air Fund (FAF) began a major campaign for funds to support its program of summer vacations in the country for needy city children. Each summer the program provides camp stays for about 2,500 children, and home stays with families in 347 communities outside New York for approximately 13,000 other children. More than half of these children are invited to return to their host families the following year, but the children are frequently difficult to locate. This is because, in the past, referrals to FAF were made through neighborhood social service agencies, and the children's families—many of whom were on public assistance—moved frequently and lost touch with the referring agency. Staff cut-backs within the agencies further reduced their capability to locate individual children.

Although the financial needs of FAF were beyond the Fund's resources, it was feasible to support a Reinvitation Project aimed at increasing the effectiveness of the overall program. A grant of \$5,000 was made to help support staff responsible for reinvitations in 1977, to support work on the definition of responsibilities between referral agencies and FAF, to organize volunteers more efficiently, and to improve office record procedures.

The Reinvitation Project was clearly a success. Compared with

the previous year, 800 more children were reinvited back to their host families as a result of the Project's work. In addition, Project staff made many valuable suggestions for improving FAF's and participating agencies' future reinvitation and record processing procedures.

For further information: Lisa Pulling, Executive Director, The Fresh Air Fund, 300 West 43 Street, New York, N.Y. 10036.

Inner City Resource Team Outward Bound Project

\$5,000 – 1978

The Inner City Resource Team (ICRT) began as a New York City-based group of black Outward Bound School instructors who had the idea of recruiting and preparing inner-city youth for Outward Bound courses and following up with them after their return home. Outward Bound runs month-long wilderness courses characterized by a high degree of physical activity, the intentional use of stress, environmental contrast, small groups, and the direct employment by students of newly acquired knowledge and skills. Community service, rescue training, mutual trust, teamwork, and adventure are emphasized. Outward Bound courses are structured as a series of tightly planned elemental experiences that look impossible to the participant, but are known by experienced staff to be well within the capacities of participating individuals. The sequence of experiences is planned with the aim of revealing to the students that they have abilities and dimensions they had not dreamed they had.

Repeated studies have shown that inner city youth derive substantial benefit from participation in such courses—in increased motivation, self-confidence, and self esteem. They have less access than others, however, to Outward Bound as well as to many other programs, and require more preparation and support both before and after such courses if they are to make the most of the experience. It was to provide this access, preparation, and support that the Inner City Resource Team was organized. It began as a division of the Hurricane Island (Maine) Outward Bound School, with plans to establish itself as an independent, New York City-based, non-profit corporation.

At the time the Fund's grant of \$5,000 was made, ICRT was negotiating for funds from the New York City Youth Board and the city's Department of Employment for a program concerned with recruitment, preparation for Outward Bound, and follow-up consisting of counseling, job placement, and other supportive services for sixty youngsters. The Fund grant was for start-up costs in anticipation of public funds.

After CETA and Youth Board funds were received, ICRT suffered internal management difficulties. The organization's founders resigned, the operating relationship with Hurricane Island and other Outward Bound schools was severed, and only one of the proposed 60 youngsters went to Outward Bound. ICRT continued to carry out job placement and training activities under its CETA and Youth Board contracts.

For further information: Jamil Abdul Malik, Inner City Resource Team, 55 West 125 Street, New York, N.Y. 10027.

Bedford-Stuyvesant Restoration Corporation Summer Day Camp Program

\$2,000 – 1976

Since 1968 the Bedford-Stuyvesant Restoration Corporation's Summer Day Camp Program has enabled over 1,500 economically disadvantaged youngsters, age seven to fourteen, to leave the city for one or two weeks to attend summer camps. The Fund contributed \$2,000 toward this program in 1976.

For further information: Bedford-Stuyvesant Restoration Corporation, 1368–90 Fulton Street, Brooklyn, N.Y. 11216.

School Breakfast Program

\$6,500 – 1976

The New York School Breakfast Committee was formed in the fall of 1974 to work for the expansion and improvement of the National School Breakfast Program in New York. At that time, although half of the city's more than one million school-age children were eligible for the meals, only 40,000 (8 percent of those eligible) were being fed, even though the meals were financed by the state and federal governments and were free to the city. Many schools had no program, and in many others, quota systems, unimaginative menus, and inadequate communications and promotion kept participation low.

In January 1976 the Fund assigned staff to help the Committee develop a comprehensive program, and subsequently the Fund provided start-up funds.

During the first 17 months of the Committee's formal operation, from March 1976 to August 1977, the number of children participating in the school breakfast program increased to over 80,000.

For further information: Frances Barrett, New York City School Breakfast Committee, PO Box 888, Madison Square Station, New York, N.Y. 10010.

Food Advocacy Center

\$4,680 – 1978

In the early 1960s several well-publicized studies documented the existence of widespread malnutrition in the United States. Since that time, Congress has enacted legislation to expand and improve existing federal food programs and has created new programs for groups with special needs. New York City is now served by at least five different federal food programs.

Nevertheless, many of those who are eligible are not being served. The reasons for under-participation include lack of awareness of benefits and how to obtain them, cumbersome application and distribution procedures, social stigmas, and poor government agency performance.

The Fund's grant made to Advocates for Children, Inc., supported the development of a proposal for Food Advocacy Center. The Center's goal would be to increase participation in federal food programs by getting information out to people in various ways and by undertaking policy research and advocacy. The resulting proposal was approved, and such a center is now operating within the Community Service Society.

For further information: Kathy Goldman, Community Service Society, 105 East 22 Street, New York, N.Y. 10016.

Monitoring the Summer Feeding Program

\$10,000 – 1976
\$12,220 – 1977

The Summer Feeding Program, which is paid for by the federal government, provides meals to needy children during the summer months when the regular school breakfast and lunch programs are not in operation. Passage of the Child Nutrition Act in October 1975 expanded the scope of the program so that two snacks could be provided in addition to lunches, breakfasts, and dinners. Eligibility was also expanded to include all children living in areas where one-third of the families are at or below the poverty level. This meant that New York City's program, which served lunches to 600,000 youngsters during the summer of 1975, would be serving meals to over one million children during the summer of 1976.

The 1975 program was to be large and expensive—\$50 million would be spent in 48 days. Hence, the program could be expected to attract a great deal of attention, especially since it had a history of abuse: in the past, many vendors had served low-quality or spoiled food, and had paid scant attention to the program's eligibility rules.

To prevent a repetition of past problems, the Hunger Task Force of the Community Council of Greater New York decided to undertake a management study of the program during the summer of 1976. The Fund approved a \$10,000 grant in May 1976 to help fund the Council's six-month Summer Feeding Program Monitoring Project.

The investigation produced recommendations for substantial changes in the New York State plan for the program's operation. In its report, "The 1976 Summer Food Service Program in New York City, October 1976," the Council's task force recommended that the State Education Department maintain a year-round staff for the Summer Program, that a mandatory prototype contract be developed, and that clear bidding procedures be established and monitored. The task force also recommended that food vendors pay for independent laboratory tests of their product's wholesomeness, and that meals be carefully monitored for variety and dietary balance.

In its planning for the 1977 program, the State Department of Education incorporated many of the Council's recommendations. However, by early spring, no standards for food had yet been set. Moreover, to ensure tighter management, the Department drastically curtailed the number of sites and sponsors, making it likely that facilities would be crowded and many needy families discouraged from taking advantage of the service. It seemed likely that another summer of mismanagement would jeopardize federal support for the program in the future and deprive the city's needy children of an important nutritional service, as well as remove up to \$65 million of federal funds from the city's economy. A Fund grant of \$5,920 in March made it possible for the Council to hire a full-time staff person to press for further implementation of the Council's recommendations and to testify on the issues in Washington.

The program was curtailed, but the Council's work helped keep the cuts to \$30 million instead of the \$65 million that had been feared. Many other Council recommendations were followed and when the summer feeding program started in June, the Fund made an additional grant of \$6,300 to continue monitoring the project, to extend the program to under-served areas of the city, and to provide technical assistance to local sponsoring groups. The grant also helped to make possible a report on the 1977 program, "Summer Food Service Program for Children in

New York City—Part II, 1977." Continued difficulties with the 1977 program led the U.S. Department of Agriculture to take over the management of the 1978 summer feeding program, incorporating several of the Council's ideas directly into the federal program for 1978.

For further information: Kathy Goldman, Community Service Society, 105 East 22 Street, New York, N.Y. 10010.

Newgate Childcare Project: Emergency Support

\$1,000 — 1977

In 1973, in response to a request from the Warden of the Brooklyn House of Detention for Men, the New York Society of Friends opened a part of its meeting house to the wives and children of inmates who were waiting for visits at the prison. There are no nursery or playroom facilities at the House of Detention, and wives of inmates frequently wait several hours for appointments to visit. Before 1973, children either waited with their mothers in a tense and crowded waiting room or, if old enough, played outside the prison on Atlantic Avenue. The Newgate Childcare Center, run by the New York Society of Friends and located a block from the House of Detention, now provides a well-equipped nursery school room, a spacious play yard, and a staff of three part-time paid staff trained in child care. The staff work with lay volunteers to guide the playtime of children of all ages while they wait for visits with their fathers.

By 1977 increased use of the Center had put the program beyond the financial means of the Society of Friends, and the Fund received a request for general support. The Fund made a small grant of \$1,000 and assisted in the development of a fund-raising program for the Center.

For further information: Nancy B. Black, Clerk of the Newgate Committee, Brooklyn Friends Meeting House, P.O. Box 730, Brooklyn, N.Y. 11201.

Pre-School Association of the West Side: Emergency Support

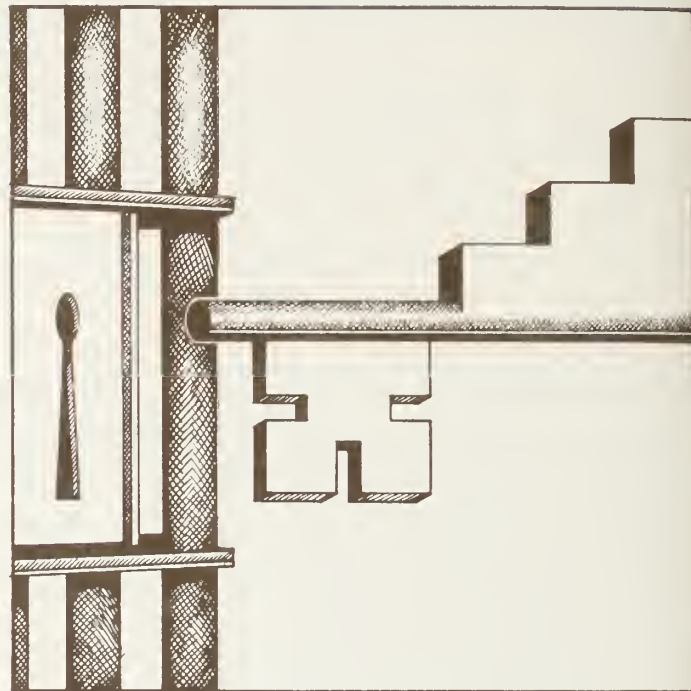
\$2,960 — 1976

Organized in 1969, the Pre-School Association of the West Side (PAWS) works with parents, community organizations, and child care programs on Manhattan's West Side to match family needs with alternative child care arrangements. PAWS helps families find their way through city and private agency programs as they search for centers appropriate to the needs of their children and their own work schedules.

City and federal funding interruptions threatened the continuation of PAWS in early 1976, and the Fund made a grant of \$2,960 to support the program until anticipated funding was received.

For further information: Annice Probst, Pre-School Association of the West Side, Inc., Bank Street College of Education, 610 West 112 Street, New York, N.Y. 10025.

Criminal Justice



The most promising and interesting efforts the Fund has supported in this area include the New York Civil Liberties Union's program of litigation challenging the constitutionality of the New York State parole system; expert consultant assistance to city officials in connection with a proposal to sell Riker's Island's correctional facilities to the state and to create smaller, borough-level facilities in the city; a radical approach to the rehabilitation of violent youthful offenders with the New York State Division for Youth; and a project to help city police define the most effective patrol deployment strategies for reducing levels of street crime and assaultiveness.

Monitoring Changes in Midtown Street Conditions*

\$10,000 - 1978

The economic revitalization of the Times Square area is a keystone of the city's economic well-being. Indeed, there is thought to be an inverse relationship between the amount of crime or appearance of crime in such an area and its appeal to consumers of legitimate goods and services. Consequently, several agencies have combined their efforts to clean up the area and stimulate economic development there. The Police Department, the Mayor's Midtown Enforcement Project, the Mayor's Office of Midtown Planning and Development, and the 42nd Street Development Corporation are all trying to improve the area by closing or upgrading establishments catering to prostitutes and their clients and by substantially increasing the number of uniformed police on the streets.

Unfortunately, however, not enough is known about police deployment effectiveness to identify the most effective strategy for any given situation. Similarly, little is known about how to upgrade such an area, since arrest and complaint data are unsatisfactory indices of the levels of criminal activity or the quality of life on the street.

Consequently, the city's Deputy Mayor for Criminal Justice asked the Fund to see if it could develop a monitoring system which would, as accurately and as impartially as possible, measure the on-street effectiveness of different police strategies. If such a system could be designed and validated, it would be used to monitor the effects of various police deployment strategies and, possibly, the effects of various economic development incentives.

The Fund designed a preliminary monitoring system based on two approaches to measuring street conditions: teams of investigators were sent out to gather information on the uses being made of the sidewalk on a given block at given times of the day and night; and time-lapse films were made of the exteriors of particular establishments, to gather data on the effects of those establishments on conditions in the immediate area.

The Fund tested and refined both methods and used them to collect and analyze data on the Times Square area. The results were presented to the police and other agencies. The field test showed the basic methodology to be feasible and promising, and the Fund and the Midtown Enforcement Project prepared a plan to refine and implement the system. Public funding for the project is expected to become available in the spring of 1979. Further work on the project has been suspended until that time.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Preliminary Inquiries in Corrections and Criminal Justice*

\$3,500 - 1976

\$18,340 - 1977

\$5,000 - 1978

In 1976 New York City's Board of Corrections asked the Fund for help in setting standards for operating the city's prison system, and in designing systems to monitor performance according to those standards. Under the revised City Charter, the Board had been given responsibility for setting standards for prison conditions in the city and for checking on the maintenance of such conditions.

A preliminary investigation convinced the Fund that it would have great difficulty fulfilling the Board's request, mainly be-

cause of the difficulty of collecting reliable data in prisons. However, the Fund thought it would be possible to give the Board technical assistance to enable it to make better use of information routinely available through the Department of Corrections and through the grievance procedure the Board had set up.

By redesigning forms, restructuring aspects of the Board's filing system, and cataloging and classifying current data, the Fund tried to ensure that the Board would have information available to enable it to spot systematic problems in the prisons. For instance, the Board should be able to identify the principal locations where violent acts occur, the corrections officers who repeatedly have trouble with inmates, the inmates who are especially recalcitrant, unusual numbers of specific medical complaints, and the like.

The Fund has also looked into other possibilities for improving productivity in the criminal justice field. For example, the Fund has helped potential grantees design projects to study the operations of the Family Court, and has helped the city's Criminal Justice Coordinating Council design a simple system to evaluate its grantees.

Most recently, with the New York State Division of Parole, the Fund investigated the potential for providing extensive services and support to parolees in the first six months after release.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

New York Civil Liberties Union Project on Sentencing and Parole

\$15,000 - 1976

\$15,000 - 1977

\$10,000 - 1978

Since 1972 the Fund has been interested in the operation of the parole system in New York State. In that year, the Fund began its support of the newly formed Citizens' Inquiry on Parole and Criminal Justice, which undertook a comprehensive study of the parole system, subsequently published as *Prison Without Walls: Report on New York Parole*. That study challenged the basic assumptions underlying correctional policy generally and parole in particular: that convicted persons are incarcerated in order to be "rehabilitated," and that it is possible to determine when a person has been rehabilitated and may be safely released into society.

In 1975 the Fund agreed to support the New York Civil Liberties Union's Project on Sentencing and Parole, which seeks to advance the basic proposals urged in *Prison Without Walls* through a program of litigation challenging the parole system. This effort, which was expected to take several years, was conceived and is being carried out by David Rudenstine, former Director of the Citizens' Inquiry study. The Fund, which indicated that it would be willing to support the effort for three years subject to annual review, renewed its support in 1976, 1977, and 1978.

The project has initiated several lawsuits. The principal suit, *Cicero v. Oligiati*, charges that the administration of parole in New York State is unconstitutional because parole board predictions that an inmate will remain law-abiding if released cannot be made reliably or rationally, and because there is racial discrimination in release decisions. Other suits challenge the lack of Fourth Amendment protections for parolees and the lack of rational standards in the administration of temporary release programs.

Although the project's main focus is litigation, its goals are furthered by the public advocacy activities of the Project Director. David Rudenstine lectures regularly, participates in panel discussions, and writes book reviews. His efforts seek to bring to the public's attention the inadequacies of the parole system and to promote the abolition of indeterminate sentencing. One recent result of the project has been passage of a parole reform bill by the State Legislature. This bill is the most drastic change in the parole system since 1930, and requires parole boards to promulgate rules and regulations concerning their decision-making procedures.

Partly as a result of the NYCLU's efforts, Governor Carey created an Executive Advisory Committee on Sentencing late in 1977 to conduct an intensive study of the effectiveness of existing laws governing imprisonment, parole, and probation, and to offer recommendations for improvement of those laws. In January 1979, the Committee issued its report, which recommended that the State Parole Board be phased out, that judicial discretion in sentencing criminals be curbed, and that a new commission be established to set sentencing guidelines. Essentially, under a guideline system, an offender would serve the full amount of time to which he was sentenced.

For further information: David Rudenstine, Project on Sentencing and Parole, New York Civil Liberties Union, 84 Fifth Avenue, New York, N.Y. 10011.

Distribution of "Prison Without Walls: Report on New York Parole"

\$2,000 - 1976

In 1974 the Fund made a \$3,000 loan to the Citizens' Inquiry on Parole and Criminal Justice to allow this group to purchase 1,000 copies of its report, *Prison Without Walls: Report on New York Parole*. It was hoped that this purchase would enable the Citizens' Inquiry to distribute the publication more widely and to repay the loan from book sales. There were problems, however, with the marketing of the book. Most substantially, the organization was prohibited by the book's hardback publisher from advertising the book to law schools, libraries, and graduate school criminal justice programs. Furthermore, much of the remaining market consisted of inmates and citizens' groups which often had no funds with which to buy the book. Consequently, the Citizens' Inquiry gave away almost as many copies as were sold.

In November 1975 the Citizens' Inquiry requested that \$2,000 of the Fund's 1974 loan be converted into a grant. The Fund agreed, recognizing that distribution of the book was an important step in the campaign to familiarize people with the parole issue.

For further information: Douglas MacDonald, Citizen's Inquiry on Parole and Criminal Justice, 135 East 15 Street, New York, N.Y. 10003.

Riker's Island Transfer

\$10,000 - 1978

During 1978, negotiations were undertaken to transfer the ownership of Riker's Island and its correctional facilities from the city to the state. The needs of the city and the state seemed exactly complementary in this project. On the one hand, the state needed more correctional facilities in the city to accommodate its policy of locating inmates as close to their homes and families as possible. On the other hand, the city was under judicial constraints to upgrade its correctional facilities. The city intended to use the proceeds of the sale to construct new replacement facilities at various locations throughout the city, and to upgrade certain existing facilities. This would be consistent with the city's policy of detaining prisoners in facilities convenient to their families and legal counsel and to the courthouses in which they are required to appear.

The Deputy Mayor for Criminal Justice asked the Fund to undertake an investigation and analysis of the issues involved in developing these replacement facilities. The Fund engaged a consultant to undertake this work, which, the Deputy Mayor reports, has significantly contributed to the progress of the Riker's Island negotiations.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

\$9,150 - 1976

\$60,600 - 1977

\$9,300 - 1978

Adventure Home Project

The Adventure Home, a joint experimental venture between the Fund and the New York State Division for Youth, is a program of rehabilitative treatment for youthful felons using the approaches of Outward Bound in a group home.

A standard Outward Bound course lasts approximately one month, uses a primary teaching group of ten (eight students and two instructors), and is conducted in a wilderness setting. Successful adaptations have been run, however, lasting from one day to several months, conducted in non-wilderness settings, and serving a wide variety of special client groups. Standard Outward Bound courses are characterized by a high level of physical activity; the intentional use of stress; environmental contrast; small groups; and the direct employment by the students of newly acquired knowledge and skills. Community service, rescue training, mutual trust, and teamwork are emphasized. The Adventure Home project incorporated these characteristics in its adaptation of the course.

There has been substantial and encouraging experience in the use of Outward Bound school programs as a means of treating delinquents, with a number of programs showing reductions in recidivism of up to 50 percent in the year following the intense one-month Outward Bound experience. But there has been virtually no deliberate experience using Outward Bound approaches with repeated violent offenders, and very little experience in extending and reinforcing the dramatic and demanding approaches of Outward Bound with the same youngsters over extended periods of time. Because youthful felons are a signifi-

cant source of violent crime in New York City, because traditional rehabilitative programs have not been successful with them, and because Outward Bound approaches seem to offer some hope for positive results, the Fund and the New York State Division for Youth agreed to run a year-long demonstration to test the Adventure Home Idea.

The pilot project began in November 1976. Six boys at Goshen, a Division for Youth detention facility, volunteered. Preparation, orientation, baseline testing, and conditioning were carried out at Goshen and lasted until mid-January. The Division of Adolescent Medicine at Montefiore Hospital conducted thorough medical examinations on all participants. From mid-January to mid-February the six Goshen youngsters and their instructor staff participated in a 15-day wilderness, skiing, and mountaineering course at the Colorado Outward Bound school, after which the youngsters taught cross-country skiing to mentally retarded adults. Back at Goshen in mid-February, a running program with a target of 180 miles was established as a means for the youngsters to work their way out of Goshen and into the Adventure Home, which was established at an open Division for Youth facility at Highland, New York.

Two of the six original participants, running approximately 25 miles a week, met the 180-mile requirement and moved to the Adventure Home where a highly structured program alternated literacy and high school equivalency training with service projects in the local community, rescue training, mountaineering and white water expeditions, running, meditation, skills development and job experience, and housekeeping chores.

Both boys have graduated from the program. One is now in high school and living with a foster family; the other has passed his high school equivalency and is enrolled in college.

The Division was encouraged by the potential of the Adventure Home idea, and proposed a second round in its supplemental budget in April 1978, but the proposal was not approved. The Fund assisted the Division in evaluating the pilot project and in formulating plans for a second effort.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016

Training Models and Educational Materials for the New York State Division for Youth

\$10,000 - 1977

World Education is an international organization which, for 30 years, has developed educational methods and materials to reach illiterate and minimally educated peoples. Its work began in underdeveloped areas of India and the Far East, and more recently it has worked in the United States. Applying the theories and techniques of educators such as Sylvia Ashton-Warner and Ivan Illich, World Education helps students develop their own learning materials drawn from their own experiences and interests, and encourages them to formulate personal learning goals.

When World Education first enlisted the support of the Fund, it was already operating an experimental project in cooperation with the New York State Division for Youth. At the Henry Street Settlement in lower Manhattan, 50 troubled youths who had been characterized by public school officials as "unteachable" were participating in the formulation of their own curriculum and learning objectives. In April 1977 the Fund granted \$10,000 to World Education to conduct a pilot project in three Division for Youth facilities. The project was to refine the work done at Henry Street and prepare a teacher training program and educational materials for broader use throughout New York State. The Division for Youth also lent financial support to the project.

Both World Education and the Division for Youth learned much from the now-complete pilot project. The project has generated teaching aids including an audio-visual presentation which explains how such students can be motivated to help develop their own courses of study. Currently, World Education is advising and assisting the Division for Youth in implementing the method in its facilities.

For further information: Dr. Jasperdean Koebs, World Education, 1414 Avenue of the Americas, New York, N.Y. 10019

Cultural Affairs



The Fund makes its most substantial contribution to cultural affairs in the city through its cash flow loan program, where a large proportion of the loan recipients are small arts organizations. As a general rule, the Fund does not make grants to individual cultural institutions. The only grant over \$10,000 made in this area went to the Cultural Assistance Center, which was set up to help the city's cultural institutions make more productive and efficient use of the resources available to them.

Cultural Assistance Center: Program Support

\$37,500 — 1976

In 1974 the Fund made a grant of \$12,000 to the Mayor's Committee on Cultural Policy, a group formed on the initiative of several foundations to consider how the city's government should be organized and operated to provide the best support for cultural activities in New York. The "culture industry" is commonly regarded as one of the city's major assets, amounting to \$3 billion annually and providing 50,000 jobs.

The Committee ultimately proposed that a new Commission for Cultural Affairs be established in the city to advise the Mayor and a new Department of Cultural Affairs (to be split off from the old Department of Parks, Recreation and Cultural Affairs). The Committee's report was accepted by the Mayor, and the new governmental structure was established. Martin Segal was named Chairman of the Advisory Commission for Cultural Affairs, which formed, in effect, a Board of Directors for the new department.

In September 1976 the Fund made a grant of \$37,500 to the Commission to help establish a Cultural Institutions Assistance Center, a privately funded office with an annual budget of \$200,000. The Center was to undertake specific projects to help the city's cultural organizations manage their funds more efficiently and to improve their fund-raising capacities in the face of the city government's poor fiscal condition. The Assistance Center's first projects were: (1) an effort to promote coordinated bulk buying by the city's cultural institutions; (2) an attempt to centralize and computerize their mailing lists; and (3) the development of a report, "New York City as a National Cultural Resource: A Report to the American People." The report documents the extent to which New York's cultural institutions serve the rest of the country, and was used to justify increased support from the National Endowments for the Arts and Humanities and from national corporations and foundations.

For further information: Patricia Jones, Cultural Institutions Assistance Center, 1500 Broadway, New York, N.Y. 10036.

New York Public Library Users Study*

\$3,500 — 1978

An appropriation was made to finance a study of the users of the New York Public Library. The study, conducted in the fall of 1978, concentrates on the science and technology collection, the economics and social sciences collection, and the use of duplicating services. The results of the study are intended to guide the library in fund-raising by identifying major types of users—particularly institutional users—who might be persuaded to provide reciprocal support to the library.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Brooklyn Educational and Cultural Alliance Bus System

\$10,000 — 1976

In early 1975 several private colleges and cultural institutions in Brooklyn, seeking the advantages of closer program coordination and other ties, formed the Brooklyn Educational and Cultural

Alliance (BECA). Members were the Brooklyn Academy of Music, the Brooklyn Museum, Pratt Institute, Long Island University, Polytechnic Institute of New York, St. Francis College, and St. Joseph's College. One of BECA's first projects was to establish a bus link enabling people to move easily among the member institutions, and at no personal cost, thus encouraging fuller use of all the institutions' resources and facilities.

In October 1975 the Fund made a grant of \$5,000 to BECA to help inaugurate the new bus system. In June 1976 an additional \$5,000 was made available, with the stipulation that release of \$4,000 of the funds would be contingent upon BECA's ability to develop plans for the system's future funding.

The bus loop now works on a fare basis and ridership averages 70 to 100 persons a day. Increased school contributions and income generated from fares and from charter use by senior citizen groups have moved the bus system toward eventual self-sufficiency.

For further information: Howard Hornstein, Executive Director, Brooklyn Educational and Cultural Alliance, 26 Court Street, Brooklyn, N.Y. 11242.

The Big Apple Circus: Start-Up Support

\$2,750 - 1977

In the summer of 1977, the Big Apple Circus offered New York its first one-ring touring circus since the early 1900s. The company of acrobats, tightrope walkers, jugglers, and clowns was made up of young city people trained at the New York School for Circus Arts, organized in 1976 by professional circus performers. The school offers regular classes in circus skills and acting through an after-school program for children aged eight to eighteen, many of whom are drawn from the Harlem and South Bronx area.

The Big Apple Circus came to the Fund in the spring of 1977 for assistance in locating performance sites and in negotiating permits from the several city agencies regulating outdoor performances. Delays in arranging for the first performances resulted in unanticipated production costs—contracts for lighting equipment, a tent, and bleachers—which had to be met through subscribers until they could be covered by box office receipts. The Fund made a grant of \$2,750 towards these costs through the Cultural Council Foundation.

The Big Apple Circus performed in Manhattan during July and part of August 1977, and at the end of the summer found sites for performances in the Bronx, Brooklyn, and Queens. In June 1978 the circus opened its first full season at 50th Street and Eighth Avenue, the site of the former Madison Square Garden.

For further information: Paul Binder, New York School for Circus Arts, 36 Lispenard Street, New York, N.Y. 10013.

Programs for the Elderly



Most of the Fund's dollars spent on programs for the elderly in this three year period were used to try to improve the quality of care in nursing homes and in the city's Medicaid-financed Home Care program. During these years, the Friends and Relatives of Institutionalized Aged, a new organization whose members have relatives and friends in nursing homes, has attracted Fund grants to develop and carry out its program of monitoring the homes and advocating improvements for their residents. Other projects, reported on in the Health section, involved the Fund with the State Moreland Act Commission on Nursing Homes in developing medical care standards and monitoring procedures for such facilities, and with the city government in establishing new guidelines for the Home Care program. Another particularly promising project is an experiment, run by the Community Service Society, in providing emergency assistance to elderly victims of crime.

Friends and Relatives of Institutionalized Aged: Program Support

\$25,000 - 1976
\$25,000 - 1977
\$10,000 - 1978

Friends and Relatives of Institutionalized Aged (FRIA) is a membership organization that takes advantage of the special role friends and relatives of nursing home patients can play in monitoring the homes and pressing for improved care. Since its creation in January 1976, FRIA has enlisted approximately 800 regular nursing home visitors as members and has developed substantial community support in Manhattan and the Bronx. FRIA now monitors the care being delivered at about 100 long-term care facilities. In addition, working relationships have been developed with government agencies involved in overseeing nursing homes, the State Departments of Health and Social Services, the State Special Prosecutors's Office, and the New York City Department for the Aging.

A \$25,000 grant was made at the time of FRIA's inception in 1976 to cover staff costs, and support was renewed for \$25,000 in 1977 and for \$10,000 in 1978. The Fund has also assisted FRIA with the development of its program and in its attempts to secure other philanthropic and government funding.

For further information: Harriet Putterman, Executive Director, Friends and Relatives of Institutionalized Aged, 440 East 26 Street, New York, N.Y. 10010.

Elderly Crime Victims Assistance Program

\$15,000 - 1978

Every month between 1975 and 1977, some 1,000 senior citizens were the victims of serious crimes in New York City. Many of the city's older people live in isolation, on limited budgets, and are particularly vulnerable to crime and its effects. They are unable easily to replace the loss of a week's cash supply, retrieve stolen identification, or pay for new locks on an apartment which has been vandalized. Moreover, there are few governmental services to assist these seniors; in particular, there are no mechanisms for making speedy emergency loans to cover the expenses arising from the crime.

In view of the seriousness of the problems faced by elderly victims, and the lack of public resources available to them, the Fund, in conjunction with the Ford and Burden Foundations and the Community Service Society, designed and funded an eighteen-month pilot project in which service agencies would contact victims and offer them assistance. Emergency loans, repayable when and if possible, would be provided as needed.

Four agencies were chosen as sites for the project: one each in Flatbush, Brooklyn, and Jamaica, Queens, and two covering Staten Island and the Bronx. The sites were given access to police data from the precincts in their area, and the agencies routinely contacted all seniors reporting crimes. They also launched outreach campaigns to alert non-reporting seniors that a program existed to help them.

After six months of operation, 799 victims had been referred to the program; 327 had been assisted; 145 of these had received almost \$8,000 in loans for replacement of locks, food or rent money, for transportation, or for emergency home health visits. The Bronx site was removed from the program when a change in its mandate rendered it unable to continue serving the project as planned. The experience of the other three sites has been that it is

possible to contact and provide timely assistance to substantial numbers of seniors, and that, while cash assistance has made a crucial difference to many people, the program has been equally beneficial in providing comfort, counseling, and advocacy services.

In general, it has been easiest to run the program from the two sites which were already well-established community centers, rather than from the new agencies created to deal with crime-related problems. Established centers appear to have greater credibility for the local populations and can provide a more constant workload for their full-time staff members. All three sites have collected data on the nature and extent of the needs of their clients and on the costs of meeting these needs. These data should serve as the basis for project change, continuation, or replication.

For further information: Vicki Ashton, Coordinator, Elderly Crime Victims Assistance Program, Community Service Society, 105 East 22 Street, New York, N.Y. 10010.

Sunnyside Community Services Home Service Project

\$3,500 - 1976

The Home Service Project provides services to the homebound elderly in the Sunnyside and Woodside areas of Queens. Many of these elderly residents, while not well off, are ineligible for home care reimbursements under Medicaid. The services which Sunnyside provides include homemaking, housekeeping, companion and home attendant work, escort service to doctors' offices, clinics, and social agencies, and shopping, barbering, and window washing. The program was originally a demonstration project, funded in 1975 by the National Council for Homemaker and Home Health Aid Services. In June 1976 the Fund made a \$3,500 grant to Sunnyside to ensure the uninterrupted provision of services while its leaders sought more substantial funding from foundations and other sources interested in the problems of the elderly.

Although the organization's financial position is still far from secure, service has been greatly expanded. In the fall of 1977, over 6,000 hours of care were provided each month, compared with about 1,200 hours per month in the spring of 1976.

In addition, a homemaker training program at the Queens Evening Trade School, which has provided Sunnyside with a stable group of competent homemakers, is currently being carried out with the support of the New York City Board of Education. Sunnyside is also working with the Board of Education and the State Departments of Health, Social Services, and Education to use Federal Vocational Education Act funds to develop city-wide home care training programs that will accredit homemakers to work anywhere in the city or state.

For further information: Byron Stookey, Director, Sunnyside Community Services, 48-03 Skillman Avenue, Long Island City, N.Y. 11104.

Village Nursing Home Project

\$2,000 — 1978

The Caring Community is a non-profit, non-sectarian coalition of churches, synagogues, and social service agencies in Greenwich Village. In 1975 it assumed responsibility for operation of the Village Nursing Home, which was going out of business as a for-profit facility. Seeking to preserve and rehabilitate this landmark, seven-storey building and to keep in operation the only nursing home on the West Side of Manhattan below 85th Street, the Caring Community undertook its purchase and renovation. The Fund's grant was made to provide interim support while other funds were being sought.

The Caring Community was successful in raising the rest of the money required, including a \$3.5 million FHA-insured loan for renovations and \$450,000 in community development funds. Renovation is to begin shortly after January 1979, and will be accomplished without dislocating the home's residents.

For further information: Sister Bonnie Morrow, Administrative Director, The Caring Community, Inc., 371 Sixth Avenue, New York, N.Y. 10014.

Employment, Education, and Welfare



Accountability is the watchword for the Fund's investments in these areas. The CETA contract management project is an attempt to devise and apply reasonable standards and measures of performance for contractors in the city's job training and placement programs; the School Accountability Project was a preliminary attempt to apply similar approaches in the public schools; and the Educational Priorities Panel's Board of Education Budget Analysis project demonstrates that a responsible watchdog agency can have a beneficial impact on public policy and practice.

CETA Contract Management Project*

1978 - \$5,000 FCNY
\$9,935 NYC Department
of Employment

The Department of Employment (DOE) is charged with administering expenditures for job training and placement under the Federal Comprehensive Employment and Training Act (CETA) and other city, state, and federal programs. Most of these funds are spent through contracts with non-profit community organizations which vary widely in performance. In order to emphasize and improve its monitoring of service quality, DOE recently created a Contract Review and Evaluation Unit. The Fund performed an analysis of current contractor performance for the unit, deriving norms against which contractor performance could be measured and developing contract review criteria and procedures to facilitate the evaluation of contracts up for renewal.

The basic measure of effectiveness for these employment services is cost per placement in a full-time, unsubsidized job. Cost per placement is known to vary widely among contractors retained by DOE. It was thought that these costs could be better controlled and more closely linked with the amount and quality of service delivered if the sources of these variations were studied.

Data were gathered from DOE files on the services delivered by various DOE contractors and grouped by type of courses offered. The groupings were then compared to determine whether the common explanations of variations in cost per placement were in fact true, that is, that costs varied according to the abilities of the students or the amount or quality of training offered. The study shows that, by and large, this was not true. The major sources of cost variation were, in fact, non-service-related factors such as staff salaries.

A further product of this analysis is a Contract Review Package, a set of guidelines developed by the Fund to be used as "rules of thumb" in contract negotiations and performance review. The package will be used by contract managers in evaluating contracts prior to renewal.

Part of the monies provided by the Fund allowed DOE to hire a summer intern, through the Economic Development Council, to work with Fund staff on this project.

This work has been enthusiastically received by the management of DOE, and plans are being made for its continuation, largely with Federal Comprehensive Employment and Training Act funds.

For further information: Assistant Commissioner Jane Hughes, Department of Employment, New York City Human Resources Administration, 220 Church Street, New York, N.Y. 10013.

School Accountability Project*

\$5,000 - 1976
\$11,620 - 1977

The Fund has investigated the possibilities for applying standard-setting and performance-monitoring techniques for the improvement of student and school performance. As a result

of these investigations, the Fund researched and developed a proposal with the Accountability Office of the New York City Board of Education for an experimental, school performance project. The project's purpose was to identify ways of using currently available information (cumulative school records, test scores, and attendance figures) to improve school accountability. The Fund agreed to provide further support for the first, experimental stage of this proposal, a three-month field test in three elementary schools, if additional, matching funds could be found from other sources. But, to date, matching funds have not been raised.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Teachers Union Contract Analysis

\$1,270 - 1976

In late 1975 the Board of Education agreed to a contract with the United Federation of Teachers that granted a series of wage increases which, it was estimated, would ultimately increase the city's expense budget by as much as \$100 million annually. This was at the height of the city's fiscal crisis and at a time of a general freeze on wages and substantial layoffs of city employees. The Board of Education's decision was challenged by the Public Education Association (PEA), the Regional Plan Association (RPA), and others concerned with the quality of public education in the city.

At the request of PEA, the Fund made an appropriation of \$1,270 to enable a consultant to investigate the circumstances surrounding the negotiation and acceptance of the contract and its impact on the city's fiscal situation. The study confirmed the estimated cost increases and asserted that conditions of the contract, which included increasing classroom size and cutting classroom instruction time as methods for paying for wage increases, would adversely affect the quality of education.

Despite these findings, an amended contract was approved over the opposition of PEA, RPA, and the Educational Priorities Panel. However, partly as a result of the study and of a series of meetings with PEA and RPA representatives, the Economic Development Council (EDC) agreed to release an analysis of potential budget economies it had prepared for the Board of Education. An advisory committee of corporate executives was created to work with the Educational Priorities Panel, a coalition of non-profit organizations, to press for implementation of the EDC findings. The Educational Priorities Panel also undertook to analyze the 1976 Board of Education budget against spending records.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Brandeis High School Attendance Project*

\$2,000 - 1976

Information on pupil attendance in the New York City high schools has been notoriously unreliable. Recording procedures are cumbersome, and processing and follow-up are very time-

consuming, with the result that these functions are often carried out poorly or not at all. Students come to believe that attendance is not a high priority in the schools, and New York State school aid—which is allocated on the basis of daily attendance figures—is lost because truancy and class cutting reduce the number of pupils served.

During the 1973–1974 academic year, Louis D. Brandeis High School and the Economic Development Council jointly instituted a program to make information on absenteeism and class cutting easier to collect, report, and use. Since the program began, attendance at the 5,000 student school has increased from 73.2 percent to 82.1 percent, and class-cutting was reduced by at least 20 percent.

In October 1975 the Economic Development Council sought funds to modernize the computer facilities used in the project. The Fund provided \$2,000 of the necessary \$8,000, and by February 1976 the new system was in use at Brandeis. The success of the project through the 1976–1977 school year led to the Division of High School's decision to extend the system to three other high schools.

For further information: Floyd Flom, Economic Development Council of New York, Inc., 260 Madison Avenue, New York, N.Y. 10016

Educational Priorities Panel: Board of Education Budget Analysis

\$12,000 – 1978

The Educational Priorities Panel (EPP) is a coalition of 21 non-profit public interest organizations. It was formed in the fall of 1975 in response to the city's fiscal crisis, to ensure that the maximum amount of dollars appropriated for the Board of Education during this period would be used for the education of children. In 1977 an EPP report indicated that instructional services had been cut in 1975 and 1976 twice as heavily as administrative services.

EPP is credited with several accomplishments: leading a drive which resulted in a \$35 million dollar shift, over a two-year period, from administrative services back into direct classroom services to children; pointing out waste in the School Lunch Program, which led to a reorganization of the Board of Education Bureau of School Lunches; and causing the cancellation of \$2 million of Board of Education leases for unneeded space. EPP has shown that a responsible watchdog agency can have an effect on Board of Education priorities.

The Fund's 1978 grant to EPP is for analyses of the current budgets of the Boards of Education and Higher Education, for public briefings on the findings, and for evaluation of the impact of budget modifications which occur during the year.

For further information: Stanley S. Litow, Educational Priorities Panel, 95 Madison Avenue, New York, N.Y. 10016

1976 – \$10,000 FCNY
\$2,500 Fund for
New Jersey

Preliminary Inquiry on Welfare Reform and Full Employment

1977 – \$2,770 FCNY

High levels of welfare and unemployment impose huge costs on major urban centers like New York City. Without such costs New York would probably not be facing its current financial difficulties. Yet the city is unable to deal with these problems because their origins often lie outside the city's control—in general economic trends, immigration patterns, federal monetary and tax policies, etc.

Nonetheless, the Fund saw possibilities for foundation activity to encourage welfare reform and, together with the Fund for New Jersey, retained an experienced investigator to explore significant developments in welfare and employment trends and identify how these or any other foundations might be able to act constructively. Discussion papers and conferences that grew from the investigation (principally on Medicaid reform and public works employment) helped inform the Fund but did not lead to further grant projects.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Energy and the Environment



In some ways, the most provocative project reported on here is a brief reconnaissance carried out by the Fund which indicated that the city government could save \$20-\$40 million a year in energy costs through better building management. Savings of \$6 million are projected in the city's 1978-79 budget to be achieved through energy conservation measures. A deliberate search for potentially effective environmental projects led to a series of grants to the Natural Resources Defense Council for its efforts to improve the city's transportation systems and the quality of the city's air. Small grants were also made to encourage farmers' markets and community gardens throughout the city.

Municipal Energy Conservation Project*

\$8,250 — 1977

\$2,000 — 1978

The New York City government spends at least \$400 million a year on energy in the operation of municipal buildings and other facilities and in the delivery of services. Much of this expenditure could be eliminated through the adoption of three major means of energy conservation pinpointed in several national and local studies: managing a building's systems more strategically; getting occupants to adopt less wasteful practices; and investing capital in energy-conserving reconstruction (retrofitting). A useful rule of thumb is that energy savings of up to 20 percent can be achieved simply through smarter building management and cooperative occupant behavior, and that a further 20 percent can be produced through substantial capital investments.

The Fund undertook a preliminary investigation to determine whether and under what conditions the city government was employing, or could employ, these conservation strategies to achieve such savings. The Fund study showed that private sector conservation efforts were most effective under three conditions: first, when responsibility for the program rested at the highest level, where it was made a real priority; second, when a regular and comprehensive energy consumption monitoring system existed, so that management could see what was working and what wasn't; and, third, when a set of financial or budgetary incentives was present, so that managers whose primary interests and responsibilities lay outside energy conservation were nonetheless motivated to give active attention to conservation measures.

The Fund study called attention to the fact that none of these steps had been taken in the city's energy conservation program. Though some efforts had been made in more general directions, the Fund study indicated that these efforts were too modest and were conducted at too low a level for any substantial proportion of the potential savings to be realized.

In the course of the study, professional private-sector building managers, available through the New York City Realty Board, worked with the city's building engineers in a number of sample buildings to see whether substantial savings could be achieved in the city's facilities without substantial capital investment. Their affirmative findings led to the Fund's recommendation that the city's conservation efforts focus on "end-use" restrictions, geared to changing the behavior, first, of building operators and, second, of building occupants. The Fund estimated that the city could produce savings of roughly \$40 million or more annually with such measures, and that a further \$60 million or so could be produced through retrofitting.

City officials have read the report, and its recommendations have been pursued to some extent, though not to the degree recommended. In the city's fiscal 1979 budget, planned savings from energy conservation measures are estimated at \$6 million.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

New York City Energy Policy

\$3,000 — 1977

In December 1976, the Energy Unit of the Department of City Planning was engaged in federal projects geared to lowering energy costs and increasing energy supply in New York City. It was instrumental in shifting the city's utility accounts from Con

Edison to the Power Authority of New York State, at some savings. The Energy Unit had also begun to formulate a city energy policy and to devise programs to implement this policy. The Fund helped support this latter undertaking.

The Energy Unit, together with the Administration and Management Research Association (AMRA), reviewed existing city energy consumption and cost figures, developed an outline for city energy policy, investigated the relationship between economic development and energy issues, and compiled a list of public and private agencies working in the energy field. Recommendations from these projects were incorporated into the city's energy strategy in its economic recovery program of 1977.

For further information: Louis Kwit, Administration and Management Research Association, 1270 Avenue of the Americas, New York, N.Y. 10020.

**Preliminary Inquiry into
Grant-Making Possibilities to
Protect New York's Environment**

\$4,000 - 1976
\$1,960 - 1977

A 1975 review of Fund grants to protect the city's natural environment concluded that the environmental problem on which the least progress had been made—and the one that most affected the health and well-being of all New Yorkers—was air quality control. Much had been done to reduce air pollution from stationary sources but very little progress had been made to reduce air pollution from auto emissions. Indeed, pollution from this source appeared to be increasing.

The study also indicated that promising work in this area was being done by the Natural Resources Defense Council (NRDC), a group active nationally in environmental law. In 1976 and 1977, grants totaling \$5,960 provided an opportunity for the Fund to work with NRDC staff to develop a plan to approach resource conservation and pollution control through transportation planning. The product of this work is described below (see NRDC's Urban Transportation Project).

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

**Preliminary Inquiry into
Environmental Mediation in New
York City**

\$2,480 - 1977

Mediation has proven a useful tool in resolving environmental problems in several places in the United States. It has been particularly successful in settling disputes regarding the routing of highways and land use and watershed projects. In 1977 the Fund allocated \$2,480 to investigate the possible use of mediation in resolving environmental disputes in New York City. If the approach appeared feasible, it was expected that the inquiry would identify individuals or organizations who could supply this capability.

The inquiry concluded that mediation techniques that bring a negotiator into a controversy to effect a compromise would be difficult to apply to environmental disputes because the parties involved are not usually of equal bargaining power. It noted also that eleventh-hour compromise was not generally a desirable approach to making complex environmental decisions. The re-

port suggested, however, that there were many opportunities for the application of mediation techniques to avoid the development of disputes; for example, when consensus is required on basic data to arrive at particular decisions or to develop particular regulations.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

**Natural Resources Defense
Council: Urban Transportation
Baseline Data***

\$10,000 - 1976

The Natural Resources Defense Council (NRDC) is a national organization committed to improving the environment through research, litigation, and public advocacy. Although it has been active nationally and has focused much of its attention on national issues, in the past several years NRDC has become increasingly active in New York City, especially in probing the relationship between the city's transportation system and its environmental quality.

In 1976 NRDC asked the Fund to support its Urban Transportation Project, which sought to encourage government officials to develop and enforce a comprehensive and ecologically sound transportation plan in accordance with the Federal Clean Air Act of 1970. Through a program of litigation and education, the project's goal is to strengthen the region's economic base through mass transportation development, while reducing pollution and encouraging conservation of resources.

The Fund granted \$10,000 to NRDC to allow it to gather baseline data on air pollution levels, their effect on public health, and trends in energy consumption. The data were to be used to assess the effects of traffic congestion and air pollution on New York's economy and environment, and to evaluate any changes resulting from transportation strategies adopted by the government in response to NRDC's education and litigation programs.

"An Assessment of New York City's Transportation Service and Its Impact on Business and Health," NRDC's study of these data, was completed in July 1977. It focused on five major areas: (1) the nature and extent of motor vehicle congestion in New York City; (2) the effects of congestion on the city's economy; (3) the effects on public health of pollution resulting from congestion; (4) the status of mass transportation in New York; and (5) mass transit financing programs operated by the federal and state governments.

Through its study of motor vehicle congestion and resulting air pollution, NRDC found that congestion, caused primarily by commuter automobile traffic, illegal parking, and taxi cruising, resulted in reduced driving speeds of automobiles, buses, and trucks. This in turn caused production and delivery delays, increased energy costs, and significantly increased pollution. The study also found that congestion lowered productivity, increased costs to businesses by increasing accidents, raised shipping costs, figured significantly in the decision of corporations to relocate outside New York City, and discouraged tourism in New York.

The study also detailed the harmful effects that various air pollutants caused by motor vehicle congestion can have on the public's health, and reported that New York City's levels of carbon monoxide, nitrogen dioxide, hydrocarbons, ozone, lead, and other noxious pollutants were among the highest in the

nation. In addition, serious shortcomings were found in New York City's air quality monitoring system.

In its study of the factors contributing to the more than 50 percent decline in New York City bus and subway ridership since 1948, NRDC concluded that fare increases were the most significant factor. It also found that service cutbacks were another important cause of the decline.

Due partly to the publication of these findings, cooperative efforts developed between segments of the business community and groups interested in improving New York's transportation system and environment. A May 1978 conference was co-sponsored by NRDC and the New York Chamber of Commerce and Industry to discuss revision of New York's transportation control plan. The conference marked an important step in the preparation of a revised transportation control plan which, when implemented, should benefit New York's economy, environment, and transportation system. In 1978 the Fund made further grants (reported below) to support NRDC's Urban Transportation Project.

For further information: David Schoenbrod, National Resources Defense Council Inc., 122 East 42 Street, New York, N.Y. 10017.

Natural Resources Defense Council: Urban Transportation Project

\$40,000 - 1978
\$10,000 - 1978

By the 1970s, it had become clear that the pollution of the nation's air and water was a problem demanding immediate attention. This was a particularly acute problem for New York City. In 1976, the Federal Council on Environment Quality reported that, while the overall quality of the nation's air and water was improving, it was actually deteriorating in New York City. While this was detrimental to the health and safety of all New Yorkers, it also had an adverse economic impact: several of the corporations who moved their headquarters out of the city cited pollution as a major motivating factor.

With regard to air pollution, the greatest need was to reduce vehicle emissions, since stationary source pollution had already been cut down significantly, and this problem had become primarily one of enforcement. Under federal mandate, the Clean Air Act of 1970, the city and state had adopted a Transportation Control Plan designed to achieve minimal health standards. However, the plan has not yet been fully implemented.

The Natural Resources Defense Council (NRDC) is a privately funded organization which combines scientific analysis with the practice of public interest law in the environmental field. NRDC's Urban Transportation Project is a comprehensive effort to investigate the related problems of air quality and urban transportation in New York City. The project began with research and analysis of the various issues involved, focusing in particular on the potential impact of the Transportation Control Plan on the economic health of the city. The project then proceeded along the lines NRDC had followed successfully on the national level—public advocacy, administrative negotiation, and, if indicated, litigation. It was hoped that these efforts would help bring about an integrated transportation policy for the city.

Major changes have resulted from NRDC's work in this area. Negotiations were initiated under the Beame administration, and continue currently, to coordinate the agencies responsible for

bringing the city into compliance with the Transportation Control Plan (TCP). NRDC has also contributed substantially to the revision of the TCP, which is expected to be completed in 1979. Two major reports, each expected to have a major impact on transportation policy in the New York area, have also been prepared.

Preparation of the first of these reports, *A New Direction in Transit*, was in part supported by the Fund's smaller grant (along with grants from the Rockefeller Brothers Fund, the Charles H. Revson Foundation, the Taconic Foundation, the Kaplan Fund, and the U.S. Department of Transportation). The report was issued in December 1978 through the City Planning Commission. It contains an extremely detailed and thorough analysis of capital development needs and priorities for the city's mass transit system over the next decade. It has received wide press coverage, and reportedly has been well-received by the city's transportation agencies.

The second report, *Transportation in New York City: Five Projects*, was supported by the Fund's larger grant, in conjunction with a grant from the Rockefeller Brothers Fund. The report will be published early in 1979. It analyzes transportation alternatives which do not require substantial capital outlays in order to be implemented—for example, a "park and ride" strategy for restricting the flow of commuter traffic into midtown Manhattan.

For further information: David Schoenbrod, Natural Resources Defense Council, Inc., 122 East 42 Street, New York, N.Y. 10017.

Project Greenmarket

\$5,000 - 1976
\$5,000 - 1977

Markets where farmers from areas surrounding New York City could bring their produce for sale to city dwellers disappeared from the city's way of life in the late 1940s. In the spring of 1976, the Council on the Environment asked the Fund to support Project Greenmarket, a plan to set up a series of open-air weekend markets which would provide fresh vegetables, fruits, and other farm products and crafts at reasonable prices. It was believed that the markets would not only be economically attractive to both city dwellers and farmers, but could also be an economic stimulus to the shops and restaurants surrounding the market sites.

The Fund made a grant of \$5,000 to aid the Council in planning and administering the project. During the summer of 1976, three markets were successfully operated at 59th Street and Second Avenue, Union Square and 17th Street in Manhattan, and at Flatbush and Atlantic Avenues in Brooklyn.

The markets were an attraction to people cut off from country living and contributed to a warm exchange between farmers and city dwellers and among groups within the city itself. Fees charged for booths at the markets brought in approximately a third of the project budget and it seemed likely that the project could in the future be nearly self-sufficient.

A second grant of \$5,000 was made to Project Greenmarket for the 1977 summer season and made possible the establishment of three more markets at 137th Street and Seventh Avenue, at 101st Street and Second Avenue, and at 102nd Street and Amsterdam Avenue. In the summer of 1978, Project Greenmarket was again in operation, with markets open at all of the 1977 locations.

For further information: Barry Benepe, Greenmarket, 24 West 40 Street New York, N.Y. 10018.

Bronx Frontier Development Corporation: Composting Project

\$10,000 - 1977

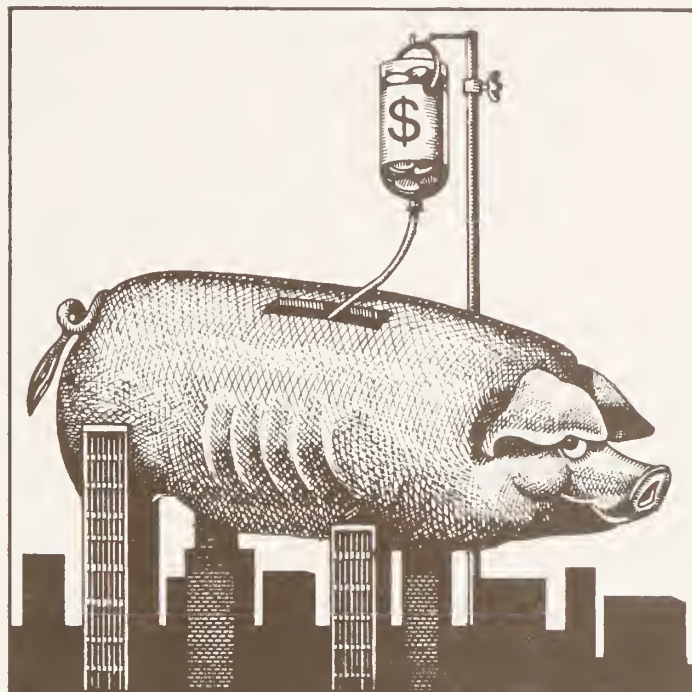
Vacant, rubble-strewn lots, abandoned blocks and garbage are not usually regarded as neighborhood assets. However, the Bronx Frontier Development Corporation (BFDC) has begun to turn these negatives into positives for the South Bronx. BFDC recycles the vegetable waste of the Hunts Point Produce Market to make compost, which, when mixed with crushed bricks and mortar (the rubble left on abandoned building sites), forms the topsoil needed by local groups for community gardens.

A Fund grant of \$10,000 was made to BFDC in June of 1977 to support the composting project. The Fund also worked closely with BFDC to help it locate other sources of financial assistance and to find land for the composting operation. BFDC has now rented four acres of city-owned land for one dollar a year, installed a drainage system, erected fences, set up a trailer for use as an office/laboratory, contracted for a compost-turner and rubble pulverizer, and employed a biochemist and plant physiologist to monitor soil conditions.

The composting project is now underway, with a broad base of foundation and government support, and provided 300 cubic yards of compost to local groups for community gardens during the summer of 1978. BFDC hopes to produce 14,000 cubic yards of compost during 1978-79, so it can assist at least an additional ten local gardens. This project is one of a number of BFDC efforts to spur locally based physical and economic development in the South Bronx.

For further information: Irma I. Fleck, The Bronx Frontier Development Corporation, 738 Kelly Street, Bronx, N.Y. 10455.

Fiscal Affairs



New York's fiscal crisis stimulated a substantial number of proposals to foundations. Among the potentially most useful of those that came to the Fund was the Local Finance Law Project of the New York Bar Association, first in the list of projects reported on below. The Fund also contributed to specific parts of the work of the Temporary Commission on City Finances, which provided much of the basic financial data used by city, state, and federal officials and bank and union representatives, in negotiating fiscal arrangements which kept the city from municipal bankruptcy during this difficult period.

Local Finance Law Project

\$7,500 – 1978

By 1965 borrowing had become a way of life in city government. Tax anticipation notes were issued against unpaid and often uncollectable real estate taxes, and the state legislature had recently relaxed restraints on the use of revenue anticipation notes. Compounding this was the lack of uniformity of accounting and disclosure practices among municipalities within the state. This set of circumstances was a major factor contributing to the severe fiscal crises experienced by New York City, Yonkers, and other cities.

The State Local Finance Law was enacted in the 1940s, and had not been revised, or even comprehensively reviewed, since that time. However, several aspects of municipal finance had changed. The use of state and federal funds was increasingly prevalent in city financing; potential investors were increasingly likely to demand detailed financial disclosures before making investments; and, in general, local government was coming under increasing scrutiny and pressure to be accountable to performance standards.

The Bar Association of the City of New York formed a committee (the Committee on Municipal Affairs) to review the Local Finance Law and relevant provisions of the state constitution and to make recommendations designed to improve the fiscal health of all New York State municipalities, and New York City in particular. The Fund participated in the financing of this undertaking, along with the Ford Foundation, the Robert Sterling Clark Foundation, and the New York Community Trust.

The result was a year-long study which focused on four areas: the role of federal, state, and other entities in municipal finance; the issuance of bonds and notes; financial management and budgeting; and financial information and disclosure. The findings of the study were summarized in a comprehensive, widely publicized report issued in November 1978. The report recommended changes in the Local Finance Law, in the state constitution, and in budgetary and financial practices.

Among other things, the report recommended that:

- All municipalities be required to have balanced budgets, with the State Comptroller to determine what constitutes "balanced."
- Debt limits be set on the basis of revenues received, rather than on the basis of real property value as is done currently, with the State Comptroller (or, if the Legislature so determines, a local Finance Board) authorized to restrict further issuance of debt if necessary.
- The "rolling over" of bond anticipation notes be restricted.
- Municipalities be authorized to make loans to private entities when necessary to achieve a public purpose.
- Financial disclosure requirements be made more rigorous.

The report is now being studied by state officials and is likely to result in the introduction of new legislation or a state constitutional amendment.

For further information: Evan Davis, Association of the Bar of the City of New York, 42 West 44 Street, New York, N.Y. 10036.

New York City Intergovernmental Fiscal Relations Study

\$10,000 – 1976

The Temporary Commission on City Finances was created by the Mayor in September 1975. Its mandate was to conduct a thorough study of the long-term financial problems and prospects of New York City and offer recommendations for improving the city's fiscal health. The Commission examined eight areas of city financing: operating expenses, revenue structure, personnel and programs, transportation financing, intergovernmental fiscal relations, general city financing and debt structure, fiscal aspects of non-mayoral agencies, and economic and demographic trends.

The Commission asked the Fund to support its work on intergovernmental fiscal relations, and the Fund granted \$10,000 to that end. Work on "The Role of Intergovernmental Fiscal Relations in New York City" began in January 1976; in May 1977 the report was submitted to the Mayor and released to the public. The Commission found that federal and state aid to New York City had increased 26-fold between 1950 and 1976, to nearly half of the city's annual budget, and that cutbacks in city spending, while superficially economical, should be monitored carefully since they might result in loss of federal support contingent upon city expenditures. These losses could amount to \$.49 for every dollar shaved from the city's own expense budget.

The Commission also found that federal and state aid was heavily concentrated in areas such as welfare, health care, and special education, which, prior to the surge of governmental aid to New York, were not significant city functions. Traditional municipal functions, such as police and fire protection and sanitation, still receive little or no aid from the state and federal government.

The Commission made several other recommendations: that the city should focus its legislative efforts on expanded revenue sharing, an approach to intergovernmental aid which allows the city the greatest discretion in the expenditure of the assistance dollars; that it should seek a redefinition of the local tax contribution required under revenue sharing formulas; that it attack statutory ceilings on the amount of aid which federal and state governments may grant a single municipality, since such ceilings invariably discriminate against large cities and against New York most of all; and that the city press for a redefinition of the functional responsibilities of various governments.

The Commission also called for federal assumption of welfare costs and Medicaid assistance, state assumption of the costs of higher education, corrections, and probation, and a greater regional role in developing programs in and sharing the costs of transportation, water and air pollution abatement, and economic development. Further recommendations called for revised grant procedures for the federal and state governments, a new organization to lead and monitor the city's own efforts to obtain aid from Washington and Albany, and creation of a state-city fiscal commission to prevent future crises in city planning.

The Commission's work has contributed substantially to the planning for the city's recovery and to its plan for fiscal management.

For further information: Raymond D. Horton, Graduate School of Business Administration, Columbia University, New York, N.Y. 10027.

Business Tax Study

\$12,500 – 1976

Given the fiscal crisis and the related erosion of New York City's tax base, city officials and others have recently begun to question whether current business taxes might be analyzed and perhaps restructured so as to be more encouraging to business, or at least to certain kinds of business.

In June 1976 the Fund made a grant of \$12,500 to support a Department of City Planning study of the business tax structure in New York, aimed at developing techniques that will help forecast the impact of various tax structures on specific industries in terms of revenue generation, employment, and other measures of economic activity. The study was also supported by the Rockefeller Brothers Fund, the New York Community Trust, the Herman Goldman Fund, and the Ford Foundation.

The study concentrated on the possibilities of a tax structure aimed primarily at encouraging higher employment levels. Two reports were produced: "Business Tax Receipts from Major Economic Sectors," in December 1977; and "Business Taxes and Employment in New York City," in May 1978. The first report summarizes New York City's 1975 tax revenues by industrial categories. The second presents tax revenue and employment data for New York City industries as identified by Standard Industrial Classification (SIC) codes, a federal government classification system, and analyzes the relationships between employment and taxes for each of the seven broad industrial sectors.

The second report notes that increased employment is accompanied by increased business tax revenues, and recommends that the city work actively to stimulate and reinforce programs to increase employment. However, the report does not suggest which kinds of programs might be useful or indicate how they might be undertaken. The Department intends to build on the data-collection capacity established in the Business Tax Study to predict regularly what effect changes in the city's business tax structure will have on revenues.

For further information: Jackson Toby, Associate Project Director, City of New York Department of City Planning, 2 Lafayette Street, New York, N.Y. 10007.

Preliminary Inquiry on an Annual Study of the City Budget

\$2,670 – 1977

In late 1974, investor confidence in the economic credibility of New York City was at an all-time low. The gravity of the city's fiscal situation prompted the Fund to finance a feasibility study to consider the production of a report on the city's fiscal situation, similar to the Brookings Institution's annual report on the federal budget and fiscal outlook. The study was carried out by Fund staff and consultants. \$10,000 was allocated in 1974 and an additional \$2,670 in 1977 for a preliminary inquiry outlining the proposed scope of work.

A two-phase project was proposed. Phase I would start with the formation of an ad hoc working group of non-political urban economics and management experts. This group would provide informal counsel on fiscal matters to the Beame and Carey Administrations. Phase II would more closely resemble the Brookings model, and called for a group of experts who would annually review the city's budget and predict the probable consequences of current budgetary commitments on its fiscal situation two and three years hence. One goal of the report would be to increase public awareness of the fiscal outlook and to call attention to the effects of the various devices used by the city to buy time and balance the budget at the expense of longer-range considerations. The second part of the report would analyze the implications of three or four new developments each year—for example, the introduction of tuition fees at the City University of New York and the possibility of phasing the city out of the hospital business.

It is Fund policy generally not to support or undertake studies unless they have a demonstrably practical rather than merely academic interest. An annual budget report of the sort planned seemed likely to be used only if those working in both the state and city governments expressed interest in having it done and in making use of its findings. The Fund was unable to obtain such explicit expressions of interest, and no further work was done on the project.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.



The Fund has been working on an approach to improving the quality of medical care which has proved so promising that it has attracted more Fund dollars and more dollars from other sources over the past three years than any other Fund project. Protocol-based standards of care have been applied by the Fund, in collaboration with medical experts and hospital and government officials, to emergency and outpatient hospital clinics, to nursing homes, and in modified form, to the Medicaid-financed Home Care program, with encouraging results in improved care and reduced costs. The discovery that consensus could be secured on procedural standards, or protocols, for the diagnosis, treatment, and follow-up of the most common diseases, that such standards were acceptable and instructive to physicians and nurses, and could be converted into effective tools for improving care and accountability, was a real breakthrough in the Fund's thinking about practical means for improving government performance. It suggested that well-based procedural standards might be useful, perhaps more useful than outcome standards, for giving people who deliver services a more concrete and explicit idea of what is expected of them, and for auditing, comparing, and improving the quality of services, particularly in "soft," hard-to-measure areas like health, education, and welfare. Versions of the protocol-standards approach developed in the Health Care Quality Project are also being applied in modified form, in projects reported on in the Children and Youth and Education and Employment sections.

1976 — \$150,000
FCNY, \$50,000 Robert
Wood Johnson
Foundation

1977 — \$155,000
FCNY, \$75,000 Robert
Wood Johnson
Foundation, \$24,000 NY
State Department of
Social Services

1978 — \$97,200
FCNY, \$25,000 Robert
Wood Johnson
Foundation, \$259,416
NY State Department of
Social Services

Health Care Quality Project*

Over the last four years, a major focus of the Fund's attention has been the quality and efficiency of publicly funded outpatient medical care, most of which is delivered in hospital clinics and emergency departments. In New York, as elsewhere, the quality of hospital-based ambulatory care has dipped below minimally acceptable levels in institution after institution. Outpatient clinics are staffed with a wide variety of physicians, from the highly trained to the questionably qualified, who come and go on different shifts and with varying schedules. Patients see the same doctor more than once only by the sheerest chance, and even the most dedicated and resourceful directors of outpatient services have almost no useful mechanisms or tools to give them managerial control over what happens in the clinic. Often, the most essential procedures in diagnosis and treatment are left undone and undocumented.

To help solve these problems, the Fund, together with expert medical consultants, developed protocols specifying appropriate patterns of diagnosis, treatment, and follow-up for the most prevalent ambulatory health problems. As it happens, there is a latent consensus in the medical community and in the medical literature concerning the procedures for treating these most common complaints—and the protocols make this consensus explicit and directive.

The protocols cover approximately 80 percent of the pediatric and adult outpatient visits in the city. They are designed to provide house staff and attending physicians working in hospital outpatient departments with guidelines describing the elements of adequate care for such common problems as hypertension, diabetes mellitus, and pharyngitis. In tests conducted by the Fund at Kings County Hospital, Brooklyn, first with a group of protocols promulgated in narrative form, and later, with protocols designed into the patient charts, striking improvements in the quality of care were obtained while costs were, in most instances, reduced through the reduction of wasteful practices such as unnecessary drugs, unnecessary laboratory work, and unnecessary return clinic visits.

Both the narrative and chart protocols provide physicians with procedural guidelines. Designed as audit materials, they also provide a tool for monitoring the adequacy of care. A large-scale

study sampled more than 10,000 patient charts for 12 prevalent problems in adult and pediatric medicine in 22 public and voluntary health care institutions throughout New York State (18 in New York City). The study, which was conducted by the Fund for the New York State Department of Social Services, documented what many members of the medical community have long suspected: care is unacceptably poor. But the study also showed that protocol-based audits can pinpoint deficient practices and facilities, and thus spur corrective action.

At all institutions studied, the quality of care indicated on the patient charts was significantly below protocol standard. Even when the standard of care for each problem was reduced to a "bare minimum," more than half of the cases studied still failed to meet standards for some problems, and variation among institutions was considerable. The seriousness of failure to meet these so-called "minimal" standards for each disease is conveyed by a few examples. For adults presenting with chest pain, for example, the "minimal" standard required only the following:

- any indication that the patient's symptoms or medical history were noted;
- any indication that a heart examination was made;
- blood pressure taken;
- disposition (referral or admission) noted.

The percentage of cases with a positive diagnosis of myocardial infarction or other ischemic heart disease which met this standard ranged from a low of 24 percent at one of the 22 institutions to a high of 83 percent. Only 35.7 percent of the entire sample met the standard.

Generally, the major reasons for failing to meet the applicable standards were:

- extremely poor documentation of basic history, symptoms, and physical findings;
- failure to ascertain risk before administration of drugs (e.g., determining allergy to antibiotics); and
- unnecessary use of prescription drugs, and unnecessary laboratory examinations, referrals back to clinic, and hospital admissions.

Perhaps most important from the perspective of third-party payers, the study demonstrated that it is both possible and cost-effective to develop a comprehensive statistical profile of health care delivery and utilization patterns for specific health problems and to detect defects in the level or quality of service by sampling existing patient charts.

Through the technique of auditing patient charts against protocol standards, the study produced:

- A statistical profile of current practice which can be used to make explicit, medically-based judgments about the appropriateness or reasonableness of health care.
- Specification of cost-containment measures consistent with improving the quality of care.
- Identification of institutions whose performance was sufficiently poor even in relation to the low norm to warrant on-site review and immediate correction of deficiencies.

In contrast with the use of protocols as after-the-fact audit materials, protocols designed as patient charts provide a means of intervention before the fact to improve care quality and, in

many cases, to reduce cost. In an effort supported by the Robert Wood Johnson Foundation and the New York City Health and Hospitals Corporation, the Fund has worked with Kings County and other medical staff to convert protocols into problem-specific protocol-charts to guide physicians in diagnosis and treatment. The protocol charts were applied in both the Kings County adult emergency clinic and in the pediatric outpatient clinics over significant periods of time. They produced overwhelmingly improved documentation of care (of critical importance in a system in which a patient rarely sees the same physician twice), much greater specificity and accuracy of diagnosis, much more consistent conformity with accepted standards of care, substantial reductions in the use of antibiotics, throat cultures and other laboratory work, and a reduction in unnecessary clinic visits.

These and other findings have led the Fund, together with the New York City Health and Hospital Corporation and other relevant government agencies and foundations, to develop a plan for fiscal year 1978-79 to expand this work into a protocol-based system for improving and monitoring the delivery of medical care throughout the city's municipal hospital system.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Protocols for Alcoholism*

\$5,000 - 1976

A preliminary inquiry into the feasibility of alcoholism protocols was undertaken because significant numbers of patients entering emergency rooms in municipal and voluntary hospitals are alcoholics, and because alcoholism is known to be the underlying cause of presenting complaints in a substantial number of cases.

The Fund thought that good protocols for diagnosis and treatment of alcoholism might increase the probability of detecting alcoholics in emergency rooms; improve the likelihood that alcoholics would receive proper medical attention for diseases commonly associated with alcoholism; increase the percentage of alcoholics appropriately referred to treatment programs; and permit hospital administrators to assess the quality of medical care they are providing alcoholics.

The study found it was feasible to develop such protocols, but concluded that most medical and social services for alcoholics are not so arranged as to permit their effective use. The Fund has not, therefore, developed the protocols further or attempted their application in a clinical setting.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016

1976 - \$36,680 NY State
Department of Health

Nursing Home Health Care Study*

1977 - \$10,000 FCNY

In 1975, at the request of the New York State Moreland Act Commission on Nursing Homes and Residential Facilities, the Fund developed a set of protocols dealing with the common medical problems of nursing home residents. This work was financed by a \$10,000 appropriation from the Fund.

The Commission and the New York State Department of Health believed the Fund's complaint-specific methodology represented a promising approach to the difficult question of ensur-

ing and monitoring medical care in nursing homes throughout the state. They therefore asked the Fund to conduct a test application of the protocol charts and to develop a proposal seeking federal funding for their refinement and statewide application. This work was funded with an additional \$10,000 from the Fund and \$36,680 from the State Department of Health (NYSDH).

The test of the protocols, in three nursing homes of different sizes within the metropolitan area, showed that the homes differed widely in the degree to which they followed accepted procedures in treating the most common complaints and diseases afflicting the aged.

The Fund study concluded that a complaint-specific, monitoring system based on the protocol charts could produce objective, standardized, and comparable information—which the current, subjective review system failed to provide. Such information could also be readily analyzed for each nursing home to see to what degree the home met accepted standards.

The study noted also that carefully selected samples of patients' charts could provide reliable information on the quality of care given all similar patients in those institutions, thus eliminating the necessity of reviewing each patient's chart, as is currently the practice. Further, the Fund's work showed that adequately trained lay persons could perform the necessary chart audits, thus saving the cost of highly trained medical personnel conventionally used for such reviews.

The Fund developed the following materials:

1. Seven protocols relating to hypertension, diabetes, stroke, peripheral vascular disease, chronic obstructive pulmonary disease, decubitus ulcer, and heart disease. Each of these protocols specifies the elements of minimally adequate care for patients with these problems, as well as a schedule for physician attention. The Fund estimated that over 90 percent of nursing home residents suffer from at least one of these complaints.
2. A set of forms specifying the elements of adequate examinations for admission and for the annual physical checkups required by Medicaid legislation. Also, a form was developed to specify the action required to ensure physician visits. Together with the protocols, these materials comprise a program of medical care that could be used to monitor physician performance and upgrade care.
3. Forms for monthly and annual nurses' notes summarizing each patient's status and change in condition. With a system of validation based on the strategic use of direct reexamination of particular patients, these materials could form the basis of a significant attempt to make the provision of care to nursing home residents systematic and rational.

The Fund's report was received favorably by State Health Department officials and was endorsed by independent specialists in geriatric care. The Health Department indicated it would seek federal support for the refinement and statewide application of these materials, and the Fund prepared a proposal for state submission to HEW. However, the state Health Department has not at this time pursued the matter further.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

1977 — \$20,000 FCNY
\$7,500 NY Community Trust
\$5,000 Commonwealth Fund

1978 — \$10,850 FCNY
\$9,900 NYC Human Resources
Administration

Home Care Project*

In March 1977 the Fund began a project to work with a Human Resources Administration Task Force to improve HRA's home care program for the disabled. Particular attention was given to the Home Attendant program, which services 15,000 clients at a cost of more than \$80,000,000 annually. The Fund's work consisted of developing new medical and social assessment forms keyed to new standards specifying the amount and kind of service a client should receive.

The Fund first developed new medical, social, and nursing assessment forms for use in HRA's home care system, and field-tested them in the borough of Queens. During the test period, interviews were conducted with field-based case managers and supervisors, medical social workers, roster unit payment personnel, social service staff of participating Queens hospitals, and the participating Home Health Agency, GHI. In general, the interviews confirmed that the new assessment instruments were an effective way of obtaining the necessary information.

The Queens field test also involved a quantitative analysis of the first 255 clients processed with the new forms. This provided a profile of home care clients, and helped HRA determine the characteristics most likely to affect the need for service. The profile demonstrated that home care recipients are overwhelmingly old and subject to multiple disabilities. One startling finding was that 65 percent of the sample population would be eligible for admission to a skilled nursing facility according to New York State's eligibility criteria. Another was that clients with similar characteristics received care ranging from 4 to 168 hours per week.

It became clear that the degree of dependence on others and the degree of family support available were the critical elements in determining levels-of-care standards. Based on these criteria, four categories of social/family conditions and eight categories of physical and/or mental dependence were developed. Indicators for each category were selected from specific items on the medical and social assessments, so that the assignment of clients to a given category was subject to uniform and easily identifiable criteria.

The standards were modified by the key HRA personnel and by a panel of physicians representing specialties appropriate to the client population. The draft standards were also applied to the 255 cases studied to determine their potential impact on service provision. The results of that analysis indicated that the standards, if effectively implemented, would result in better, more equitable service and in annual cost savings of up to 30 percent; the city's estimate of annual dollar savings was \$15,000,000. The standards have been put in place and are in use city-wide. HRA is now reviewing the standards and their use, and expects to make refinements.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Experimental Medicaid District Plan

\$3,000 - 1976

The Northern Manhattan Committee, a coalition of organizations committed to improving health care in Washington Heights and surrounding areas, asked the Fund for support for a project to experiment with local controls on Medicaid fraud and the quality of care rendered under the Medicaid program. The Fund granted \$3,000 to the Committee to plan for three experiments: a project to verify Medicaid billing with patients to ensure that they actually received the medical care for which payments were made; a project to develop standards of care for physicians treating Medicaid patients; and a study of "Medicaid Mills" which, in response to the Medicaid Program, had sprung up in the Washington Heights area.

A promising start on all three projects in December of 1976 was reversed by the coincidental transfer of most of the city's responsibilities for operation of the Medicaid system to the state. Negotiations and project planning with city health officials were suspended, and have only recently started again.

For further information: Dr. Joel Rothschild, Northern Manhattan Committee, Inc., 3960 Broadway, New York, N.Y. 10032.

Transit Police Emergency Medical Training Program

\$4,000 - 1977

Although Transit Department records for 1976 showed a total of 16,223 calls requiring emergency help, rescue, or emergency aid, the Transit Police Department lacked a specialized emergency service. Transit patrolmen received no more than cursory first-aid training, and waits of 15 to 45 minutes for an ambulance were common. To remedy that situation, the Transit Police Department developed an emergency medical program to cut response time to emergency calls, coordinate rescue service, and handle unique mass transit injuries and disasters. The service includes teams of intensively trained personnel operating on foot and in roving vehicles.

The Fund appropriated \$4,000 in June 1977, through the New York City Police Foundation, to support a rush start-up of this program. At present, small groups of men from each transit district have been trained in techniques of crash injury management and cardio-pulmonary resuscitation. Plans call for the entire Transit Patrol Force of 2,400 men to be trained in up-to-date first-aid techniques and in the use of equipment and procedures.

For further information: Hillel J. Valentine, Deputy Inspector, New York City Transit Police Department, 370 Jay Street, Brooklyn, N.Y. 11201.

Housing, Planning, and Development



The Fund has helped to advance the urban homesteading movement in New York City for several years and at several levels. It has made program support grants to community-based housing groups in particular areas such as Los Sures in Williamsburg, Adopt-A-Building on the Lower East Side of Manhattan, the Sunset Park Redevelopment Corporation in Brooklyn, and the 136th Street Project in Harlem. It has supported organizations like the Urban Homesteading Assistance Board, the Pratt Center, and the Association of Neighborhood Housing Developers, which provide expert help and training to these local groups. The Fund has also worked with the city government to help in designing and testing programs like the Tenant Interim Lease Program to make it easier for such groups to manage and rehabilitate the landlord-abandoned housing in which their members live. Previous government programs had done little to encourage, and much to frustrate, community self-help activities. Such activities are an often overlooked means of improving the quality of the city's support systems without increasing municipal expenditures; encouraging these activities and helping government to respond to and support them is one of the major points of these grants, and is the point, also, of the Self-Help Neighborhood Awards Program (SNAP) supported by the Fund and several other foundations, and run by the Citizens Committee for New York.

Among other grants made by the Fund in the areas of housing, planning, and development are those targeted to particular, seemingly strategic, areas of the city—Roosevelt Island, Jamaica, Queens, Times Square, the East River waterfront, the Gateway National Park—and to issues connected with the revisions in the city's Charter requiring decentralization and reorganization of many of the city's services to neighborhoods.

Tenant Interim Lease Program*

\$9,980 – 1978

Building abandonment and landlords' failure to pay taxes in low-income areas have made the city government the city's largest slumlord. A recent change in the law requires the city to assume ownership of such buildings after a year's tax arrearage, instead of waiting for three years, which was the old requirement. The idea behind the change in the law is to allow the city to intervene earlier in the process of deterioration and to give it a chance to save buildings and neighborhoods before their decline becomes irreversible. The new law does this, but, at least for the next several years, it will also probably triple the number of buildings for which the city must assume responsibility. In 1978, the city's holdings in such buildings grew from 6,000 to 18,000, with about 50,000 families in residence.

On assuming ownership, the city demolishes some of the buildings, seals up some of them, auctions off some of them, manages and maintains some of them, and, very recently, has tried to develop mechanisms for turning some of them over to tenant organizations and community groups to manage or to manage and own.

This last approach has considerable popular support from neighborhood groups and others who see particular value in neighborhood self-help efforts, and argue that tenants in low-income neighborhoods can do a more effective job of managing and maintaining their buildings than can the city and most professional landlords. But the mechanisms set up by the city to permit tenant and community management and ownership have never worked effectively enough to give the idea a fair trial. In the past four years just 25 buildings were accepted into some kind of community management program. As a direct result of the project reported on here, however, 100 buildings have been taken into the city's new Tenant Interim Lease Program in the four months from September through December, 1978, four times the total of the previous four years.

Interested in finding ways to facilitate more and better community and tenant-management of landlord-abandoned properties, a City Council *in rem* task force generated a proposal to simplify the city's procedures for leasing and selling buildings to tenant and community groups, and to encourage rather than discourage these groups' participation. The Fund helped promote discussions of this proposal with the city's housing officials, who indicated their interest in a collaborative effort to implement a program along the lines of the proposal. The Fund engaged consultants and staff to work with the city and other interested groups to design and implement a new, simplified Tenant Interim Lease Program in the summer of 1978. Under this program, buildings are managed by their tenants under a simple lease arrangement with the city, using the income derived from rent rolls. Work is continuing under the auspices of the city government and the Urban Academy to streamline the city's program for enabling such groups, where desirable, to take title to these properties. It is too early to tell how successful these programs will be, or where precisely their major difficulties will lie.

For further information: Fund for the City of New York 419 Park Avenue South, New York, N.Y. 10016.

Tenant Management Training Program

\$3,000 – 1978

The deterioration of the city's general economic condition in the 1970s, led, among other things, to an increase in the number of *in rem* tax foreclosures of occupied, residential properties. Estimates made early in 1978 anticipated a three- to fourfold increase in the city's inventory of such properties within the following year.

The city's Department of Housing Preservation and Development (HPD) moved to counter this development by creating the Interim Lease Program wherein tenants of *in rem* buildings are given the opportunity to enter into a short-term lease of the property from the city. Should the tenants prove to be capable short-term managers and maintain their interest in self-management, they are given the opportunity to enter into longer-term leases or to buy the property.

HPD called upon the Urban Homesteading Assistance Board (UHAB) to assist it in the design and implementation of policies and procedures governing the Interim Lease Program. Such assistance was to include development of criteria for the acceptance of a property into the program; development of a standard program application form; refinement of the form of lease to be entered into by interim management tenant groups and HPD; development of a standard accounting, bookkeeping, and reporting system for on-site use by all tenant groups; and the development of a training program to be administered to every tenant group accepted into the Interim Lease Program.

UHAB saw the timely development of the Tenant Self-Management Training Program as a particularly urgent priority, and requested the assistance of the Fund in implementing this program. A Fund grant enabled UHAB to hire and train new staff members responsible for planning, developing, and implementing the training program. Fund staff also assisted UHAB in developing curricula and teaching materials.

Training sessions began in August 1978, and within three months over 60 tenants had been trained in the basic principles and practices of cooperative building management.

For further information: Charles Laven, Director, The Urban Homesteading Assistance Board, 1047 Amsterdam Avenue, New York, N.Y. 10025.

136th Street Project

\$7,250 – 1977

United Harlem Growth (UHG), a small, self-help housing-rehabilitation group, began in the winter of 1975 with a meeting of seven black families concerned about the future of their central Harlem neighborhood. By the summer of 1976, the organization had developed an impressive housing rehabilitation program that creatively tapped private, city, and federal resources for the sweat equity rehabilitation of five landlord-abandoned brownstones purchased from the city.

Federal training funds were to be used to pay workers receiving on-the-job training in construction skills; this would cut rehabilitation costs in half. Another significant part of the financing package was the use of Section 312, a low-interest federal home improvement loan never before used for sweat equity rehabilitation in New York City. Section 312 was developed by the Federal Department of Housing and Urban Development to help individual homeowners make repairs on their dwellings. It requires that the borrower begin repayment the day that the loan

is made. The initial Section 312 loan for work on these five vacant and vandalized dwellings amounted to \$24,500.

UHG had raised \$14,000 toward the repayment, and in the summer of 1976 applied to the Fund for the remaining \$10,500 to set the HUD funds in motion. The Fund thought this project had significance beyond the immediate impact it would have on participants and on the central Harlem community, as HUD was looking at it as a model for expanding the Section 312 program in urban areas. Therefore, in October 1976 the Fund made a grant of \$7,250 to United Harlem Growth and encouraged the New York Foundation to make a similar grant. This funding enabled United Harlem Growth to complete the first payment of principal and interest on the Section 312 loan and to proceed with their sweat equity rehabilitation project.

The first families have moved into their brownstone apartments on 136th Street, and United Harlem Growth has expanded its rehabilitation work to take in ten additional properties in the neighborhood. In addition, UHG has contracted with the city to manage 150 units of city-owned properties in central Harlem. The two new projects will enable UHG to expand the work crew and to provide continued employment for the crew of workers trained in the original 136th Street project.

The success of the 136th Street project has demonstrated to HUD that Section 312 is applicable to the rehabilitation of vacant, multi-family buildings by urban homesteaders. In New York this program is currently being applied to projects on the Lower East Side and in the South Bronx.

For further information: David Robinson, United Harlem Growth, Inc., 2143 Adam Clayton Powell, Jr. Boulevard, New York, N.Y. 10027.

The Urban Homesteading Assistance Board: Interim Support

\$15,000 — 1978

In 1972 the Urban Homesteading Assistance Board (UHAB) helped pioneer sweat equity urban homesteading in New York City. This effort involved the reconstruction of deteriorated multi-family buildings by low income, prospective cooperative owners. The homesteading movement, originally dismissed by many as idealism, grew in momentum over the next few years. By 1977 it had won national interest, federal funding, and the attention and support of the White House.

UHAB provides technical support services to prospective owner groups and helps draw the attention of funding sources to their efforts. The Board's work has encouraged homesteading efforts in the city to the point that over 40 neighborhood organizations throughout the boroughs now participate. UHAB provides these groups with technical services such as cost estimating, architectural rendering, accounting, loan packaging, supervisory training, and informal guidance and moral support.

By 1978, 201 units of vacant, deteriorated housing in 24 buildings had been rehabilitated with UHAB's assistance. In the process, over 200 previously under- or unemployed persons had received on-the-job training in construction, rehabilitation, and general maintenance.

By 1978 UHAB had two large contracts pending with the City Department of Housing Preservation and Development. The first (Homesteading Assistance) contract called for technical assistance to low and moderate income tenants eager to rehabilitate

housing through sweat equity homesteading. The second (Direct Sales) contract was for UHAB to help establish and implement a city program of direct sales of occupied, city-owned properties to tenants in residence. However, contract negotiations were slowed considerably during the transition to the Koch administration. The Fund, along with the Ford and Booth Ferris Foundations, provided interim support for UHAB's efforts during this period, until the organization's contracts with the city were approved.

For further information: Charles Laven, Director, The Urban Homesteading Assistance Board, 1047 Amsterdam Avenue, New York, N.Y. 10025.

Los Sures: Program Support

\$7,500 — 1976

Los Sures is a community-based corporation which works to maintain and improve the quality of housing in Williamsburg, Brooklyn. The group manages a number of buildings under the city's Receivership Program, and is under contract with the city to provide on-the-job training under the Federal Comprehensive Employment and Training Act. Supported by funds from the city's Criminal Justice Coordinating Council, the group operates a similar project to employ and train ex-offenders. In addition, it has organized its own construction company, negotiated conventional bank mortgages for renovation and construction, and is under contract to rent and manage Clemente Plaza, a 532-unit apartment building.

Los Sures received Fund support before 1976, and it asked the Fund to support its operations during its 1977 fiscal year. The corporation had a number of plans for the year: continue all on-going projects; improve six buildings containing 141 units; rehabilitate and sell four buildings containing 47 units; implement its management scheme for Clemente Plaza and one other building of 218 units; and continue its general technical assistance to tenants in buildings that may be rehabilitated by Los Sures and its construction company.

Los Sures is a flagship for the community housing movement in New York. Because of this, the Fund suspended its usual policy against general support grants and made such a grant—of \$7,500—in support of the organization's 1977 operations.

For further information: Wilfredo Vargas, Administrator, Southside United Housing Development Fund, 255 South Second Street, Brooklyn, New York, N.Y. 11221.

University Heights Development Corporation: Interim Support

\$2,500 — 1978

The University Heights Development Corporation was organized in 1974 to deal with the abandonment of properties in the section of the Bronx bounded roughly by the Hudson River, Jerome Avenue, Burnside Avenue, and Fordham Road. It is the only community group in this area actively engaged in housing rehabilitation and preservation. Its plans include the rehabilitation of vacant properties formerly leased by Bronx Community College, and the development of a community health center.

The Fund's grant was made to help keep the Corporation going during a difficult and lean period while it sought more substantial

funding from other sources. Manufacturers Hanover Trust and Citibank assisted in a similar fashion. The Corporation was subsequently successful in securing a \$4.1 million project to rehabilitate two vacant dormitories for senior citizens' housing, and has obtained promises for support from other government sources.

For further information: Maurice E. LaBonne, Executive Director, University Heights Development Corporation, University Avenue and West 181 Street, Bronx, New York 10453.

Association of Neighborhood Housing Developers

Federal Support for Community-Based Housing Groups

\$8,000 – 1976

The Association of Neighborhood Housing Developers—the “trade organization” of about 50 neighborhood improvement groups—requested Fund support for an intensive effort to obtain federal grants. New York City's fiscal crisis had curtailed many potential community-based housing programs, and the Association believed the city could be doing more to get federal program support.

A grant of \$8,000 was awarded in July 1976 to hire a grants consultant. The consultant was to review and report on likely funding programs and contact federal program grant officers. If these initial efforts were successful, the Association planned to make the consultant a regular part of its operation.

The first stages of grant development were completed by the consultant, who established contact with agencies, evaluated funding possibilities, and prepared and distributed documents on funding possibilities to Association members. However, because of changes in the leadership and staff of the Association, the leads were not followed up and the potential of the project was not realized.

Revision of Public Service Employment Contract Proposal

\$1,000 – 1977

In July 1977 the City of New York approved the Association's application to participate in the public employment program created by the federal government's Comprehensive Employment and Training Act. The city's award would underwrite 375 jobs to be filled by unemployed, low income persons who would work on renovation projects operated by 38 of the Association's member organizations.

The Association required help in revising its application as requested by the city. Specifically, the city wanted the Association to develop quantitative measures of the project's results, so that a more precise evaluation would be possible. The Fund awarded \$1,000 to the Association to develop these measures and to write them into contracts between the Association and its members and between the Association and the city.

The measures were developed and incorporated into the contracts, and the Association was awarded funding for the 375 jobs it had requested.

For further information: Betty Terrell, Director, Association of Neighborhood Housing Developers, Inc., 115 East 23 Street, New York, N.Y. 10010.

Sunset Park Neighborhood Revitalization

\$12,000 – 1977

The Pratt Institute Center is an organization devoted to neighborhood revitalization and community preservation. It provides architectural, planning, and organizational assistance to community groups committed to economic development and building rehabilitation. During 1977 federal and city programs began to rely more and more on local organizations to achieve these objectives, and the city entered into contracts with a larger number of community organizations to manage buildings and perform other services.

In this period, the Pratt Center received \$12,000 from the Fund to develop a cooperative community organization committed to renewing its own neighborhood. The Center selected Sunset Park in Brooklyn as an appropriate transitional neighborhood. It planned to call on the energies of existing neighborhood groups to help develop a strategy for putting together the resources of federal, city, and bank-sponsored programs. The Center also proposed to document and disseminate a description of the approach used in Sunset Park and its results to various organizations committed to helping other neighborhoods throughout the city.

The project is in progress and some results are evident. The Sixth Avenue Working Committee, a consortium formed to implement the project, has secured some building rehabilitation loans, and expects to obtain more. It has developed administrative and architectural plans for residential and commercial renovations, requested zoning changes, and sought public and private funding. The Committee is also responsible for the creation of new public service jobs and has developed a proposal for a vocational training project.

For further information: Ronald Shiffman, Director, Pratt Institute Center for Community and Environmental Development, 275 Washington Avenue, Brooklyn, N.Y. 11205.

Roosevelt Island Study

\$7,000 – 1977

By early 1977 Roosevelt Island had become the city's newest and most magnetic urban New Town. It had attracted nearly 5,000 new residents and the businesses needed to serve and supply them, and the character of its growth was of great interest to developers and planners.

The City University of New York asked the Fund for help in recording the growth of this new community. The University proposed a study to identify the origin and ethnic mix of the community's residents, assess the success of its business ventures, follow the growth of its school system and community institutions, and examine the ways in which the community responded to community problems. A further objective was to establish archives to store past and future information on the island's development.

The Fund made an appropriation of \$7,000 in July 1977 to support a graduate student in the University's Department of History, who would undertake the research under University supervision. By joint agreement, the grant was placed under direct Fund administration.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Staten Island Planning Foundation: Start-up Support

\$5,000 - 1978

Since 1960 the population of Staten Island has increased by two-thirds to 372,000. With this growth has come pressure for new city services and for the construction of schools, streets, and highways. As pressure grows, so does the need to plan for the preservation of the island's communities and its unique natural resources.

The Staten Island Planning Foundation leads the drive for a rational, balanced plan of growth. The Foundation gathers data, attends hearings, and prepares position papers on subjects pertinent to the island's development.

The Fund provided seed money to help the Staten Island Planning Foundation get started and attract other support. Subsequently, further assistance was provided by the J.M. Kaplan Fund, the Vincent Astor Foundation, the New York Times Foundation, and the New York Community Trust.

The Foundation has drafted a report detailing a plan for the preservation of natural spaces in the island's central greenbelt area. Under this plan, the hiking trails, natural parks, and other recreational locations found in this area would be shielded from unrestrained development.

Next, the Foundation plans to address the issue of revitalizing the North Shore of Staten Island, which has become economically and commercially depressed. It expects to focus on the possibilities for the development of land and water transport facilities and the encouragement of housing and community development in the most depressed areas of the North Shore.

For further information: George Pratt, Director, Staten Island Planning Foundation, 245 Benedict Road, Staten Island, N.Y. 10304.

Greater Jamaica Development Corporation: Program Support

Update Study on York College

\$2,000 - 1976

The development of York College as a senior four-year institution of the City University was one of a number of major projects intended to revitalize Jamaica, Queens, as a significant urban subcenter. However, much of the planning for the College was based on 1960 census data. Thus, projections for enrollment at York, estimates of the demand for transport to and from its campus, and assessments of the physical plant required to ensure its success were made during a time of increased student interest in higher education and of general economic growth.

In 1976 the Greater Jamaica Development Corporation (GJDC), a private group of business and civic leaders, sought a grant of \$2,000 from the Fund to reevaluate the York College plans in light of more recent economic projections and indications of significant changes in the demand for higher education.

The study, completed in January 1977, found that York had established an exemplary record as an undergraduate institution serving Brooklyn and Queens. It had consistently contributed to students' efforts to attain career objectives, with 51 percent of its alumni employed in fields related to their career goals, and 43 percent of the alumni in attendance at graduate and professional schools.

The report also projected the principal effects of the development of the College and found significant benefits to Jamaica from York's presence, as well as dangers in down-grading it to a two-year institution. It stated that York could make a considerable contribution to Jamaica's tax base, both in attracting office use and in supporting existing retail establishments. The study also found that continued development of the College would protect both private commitments and public investments such as a new section of subway tunnel and a station built especially to serve York. The report was submitted to the Governor's Special Commission on Higher Education.

Activity Assessment

\$7,500 - 1978

During 1977 Jamaica, Queens, experienced several economic shocks: Grant's and Robert Hall went out of business, Macy's closed its Jamaica store, Loew's Valencia closed, and the *Long Island Press* ceased publication. Because of these reversals, Jamaica's development plan, which is administered by GJDC, was thought to be in jeopardy. GJDC received a grant from the Fund to study and reevaluate its activities and objectives and, based on these findings, to formulate new strategies and secure additional sources of support from applicable government programs.

As a result of this study, GJDC was able to locate some additional government support. It also decided to expand its membership to reflect increased emphasis on existing local interests and activities, undertake work related to maintaining existing activities, and undertake further study of the possibility of adding housing (particularly preservation and conversion of existing stock) to its mission.

For further information: F. Carlisle Towery, Greater Jamaica Development Corporation, 161-04 Jamaica Avenue, Queens, N.Y. 11432.

42nd Street Redevelopment Project

\$5,000 - 1976

The 42nd Street Redevelopment Corporation was established to try to stop the economic and physical decay of Manhattan's 42nd Street and to develop the street as a center for the arts in New York. The success of this privately financed project has depended on the Corporation's ability to acquire the necessary West Side properties on favorable mortgage terms and to obtain tax rulings that would not penalize the Corporation for developing properties that otherwise would not be taxed.

In June 1976, a critical time for the Corporation, the Fund granted it \$5,000 to finance the services of Michael Bailkin, an attorney, a former City Planning Department employee, and an expert in development incentives. The grant was made on the condition that matching funds be obtained, a condition that was met through a grant from the Bowery Savings Bank.

By fall 1978 the Corporation owned 18 properties and was in final negotiation for two others. A row of five Off-Off-Broadway theaters with ten floors of classroom and rehearsal space has been constructed from a group of derelict tenements; the city's largest peep show has been replaced by a police station; construction of a new restaurant at the Washington Beef complex at 42nd Street and Ninth Avenue is scheduled for spring 1979; and the upper floors of an old truck garage between Eleventh and Twelfth Avenues are being turned into a new headquarters for

the midtown division of the city's mounted police. Building on the progress of the Corporation, the Ford Foundation has financed an extensive study of a major redevelopment of the 42nd Street block between Seventh and Eighth Avenues. Plans for the new development emphasize its use for the performing arts.

The 1976 Fund grant enabled Mr. Bailkin to do the early legal work relating to property acquisitions and to represent the Corporation before the New York City Board of Estimate, the Urban Development Corporation, and other public agencies. It also enabled him to negotiate necessary tax abatements and public approvals and to draft the required leases, deeds, and agreements.

For further information: Frederic Papert, 42nd Street Redevelopment Corporation, 326 West 52 Street, New York, N.Y. 10036.

Convention Center Alternatives Study

\$10,000 – 1978

Early studies of alternative sites for the city's proposed convention center were based on plans for a 560,000-square-foot facility. Subsequently, the Ravitch Commission, established by Mayor Abraham Beame to reassess plans for the convention center, citing the trend toward larger exhibitions, recommended that the marketability of a 750,000-square-foot facility also be studied.

In order to undertake such a study, the Commission retained Gladstone Associates, a consulting firm with much experience in the field of convention marketing. Their report was to include estimates of anticipated revenues, costs, and public subsidies that a larger facility would generate, as well as the effects of interaction between the center and the Coliseum. The Fund, along with the Ford Foundation, provided funds to support this work.

The consultant's final report, which subsequently was incorporated into the Department of City Planning's report to the Mayor, indicated that the city could not compete with other cities for convention business without building the larger facility. It further indicated that tax revenue gains from building the larger center would be substantially increased over those from the smaller facility, and that a center of either size would adversely affect business for the Coliseum.

The Mayor subsequently approved the City Planning Commission's final report, which recommended the building of a 750,000-square-foot center at the 34th Street site. The project now awaits the passage of state legislation to create a public benefit corporation to build and manage the convention center.

For further information: Charles Smith, Executive Director, City Planning Development Fund, 2 Lafayette Street, New York, N.Y. 10007.

East River Development Project

\$2,000 – 1978

The revival of the waterfronts and waterways of the city serves economic as well as social interests. The experience of cities such as San Francisco, Baltimore, and Philadelphia illustrates that such revival can help encourage people to seek recreation, residence, and business locations inside the city.

Within the past decade, the East River waterfront around the

Brooklyn Bridge has experienced significant revitalization, led by the South Street Seaport Museum.

Late in 1977 the National Maritime Historical Society began to plan for a marina on the Manhattan shore north of the Brooklyn Bridge. Also planned was a ferry service across the East River for cyclists and pedestrians and water transport between this area and the National Gateway Beaches in the Rockaways and Sandy Hook.

The Fund provided a small grant to help underwrite the development of these plans. Also participating in this effort were the Kaplan Fund, Ambassador Walter Annenberg, the Eva Gebhard-Gourgard Foundation, and Admiral J.M. Will.

This work produced a series of meetings and negotiations among community groups and city agencies. Agreement in principle was reached on a proposed use of the Empire Stores property situated in the area between the Brooklyn and Manhattan Bridges in Brooklyn. The city announced its intention to build a marina in the area, and plans were made to incorporate the needs of the neighborhood into the design. An independent businessman undertook to open ferry service in the area during the spring of 1979, and a trolley or jitney service from the waterfront to Brooklyn's City Hall area was also considered.

A final report on the plan and the activities which produced it is being prepared for publication in 1979.

For further information: Peter Stanford, National Maritime Historical Society, 2 Fulton Street, Brooklyn, N.Y. 11201.

Gateway National Park Development

\$10,000 – 1976

The Citizens Committee for Gateway National Park, a group of citizens from New York and New Jersey, was instrumental in persuading the federal government to establish the Gateway National Park. Gateway, the nation's first and largest major urban national park, encompasses Sandy Hook in New Jersey, and Jamaica Bay, Breezy Point, and parts of Staten Island in New York.

Since the park's establishment in 1973, the Citizens Committee has continued to work with the National Park Service and others on the park's development. The Committee was instrumental in the creation of an Advisory Commission. It has helped increase the level and quality of planning and development of the park. It has drawn attention to critical issues and has provided for larger numbers of visitors to the beaches in the summer, as well as building a constituency for the park's further development. The Citizens Committee has been a tenacious and helpful critic of Park Service plans and has brought in expert consultants to work with the Parks Service to help make the best of the opportunity Gateway offers.

The Citizens Committee is now seeking to extend access to Gateway to more local and neighborhood groups in the bi-state area, attempting to overcome the opposition of local residents, particularly in the Breezy Point area, to visitors to those beaches from other parts of the city and region. The Committee is also encouraging the development of an exciting, though still undefined, resource at Floyd Bennett Field, and is planning various means of water transport throughout the park.

In 1976 a \$10,000 grant brought aggregate Fund support for the Citizens Committee since 1970 to \$31,732.

For further information: Sheldon Pollack, Citizens Committee

for Gateway National Park, 235 East 45 Street, New York, N.Y. 10017.

Renovation and Re-Use of the Federal Archives Building

\$10,000 — 1977

The Federal Archives Building in Greenwich Village is a city landmark and a National Registry property. In 1974, when the building was vacated by the National Archive Record Center, the city had the opportunity to take over the property if a feasible redevelopment plan could be devised. The General Services Administration asked the Landmarks Conservancy to explore the feasibility of such rehabilitation, and plans to redevelop the huge, ten-storey structure were prepared. The mixed re-use plan, which has received the necessary city and community support, calls for apartment units, a major arcade, and community facilities.

In July 1976 Mayor Beame submitted the Conservancy's plan to the federal government. The application stated that the city would lease the property to the Conservancy, which in turn would sub-lease the building to a private developer. The developer would finance, construct, and manage the renovation project. Under the terms of the Conservancy's plan, the developer will be required to make an in-lieu-of-tax contribution to the city and to capitalize a revolving fund for other historical preservation projects.

In March 1977 the Fund made a grant of \$10,000 to help the Conservancy with its work in coordinating the redevelopment and in screening applications from developers.

For further information: Susan Jones, Executive Director, New York Landmarks Conservancy, 17 Battery Place, New York, N.Y. 10004.

Charter Implementation

\$10,000 — 1976
\$2,000 — 1977

In November 1975 the voters of New York City approved a number of proposals that had been recommended by the New York State Charter Revision Commission. A Charter Implementation Committee was subsequently established by Mayor Beame and was divided into five working subcommittees. The subcommittees more or less parallel the actual charter propositions that had been recommended and passed: Fiscal, Management, Government, Planning, and Coterminality and Community Boards.

The consultant services of James A. Cavanagh were made available by the Fund to provide assistance to the Charter Implementation Committee in 1976 and 1977.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Preliminary Inquiry into Means of Assisting Community Board Development

\$2,100 — 1978

The community boards created by the 1975 City Charter are intended to enhance citizen participation in decision-making

while improving the delivery of city services at the neighborhood level. While it is assumed that the new boards will need help in many areas, no systematic assessment exists of the 59 boards' varying capabilities and needs.

Supported by a grant from the Fund, the New York Interface Development Project is conducting an investigation into these resources and needs, and will explore the feasibility of establishing a technical assistance fund for the boards.

The study is proceeding through telephone interviews and meetings with community board chairpersons and district managers, City Community Board Assistance Unit staff, and current providers of technical assistance. Results are expected in 1979.

For further information: David Lebenstein, New York Interface Development Project, Inc., 95 Madison Avenue, New York, N.Y. 10016.

Coterminality Implementation Project

\$6,800 — 1978

In New York City, police precincts, sanitation districts, health districts, and government's other administrative subdivisions have few common boundaries. For example, a community planning district may be served by two or even three different police precincts. Such overlapping multiplies the difficulties of community board level planning and services integration.

The revised City Charter of 1975 took note of these problems. It required that by June 1980 certain city services be delivered through identical geographic areas with essentially the same boundaries as the city's 59 Community Districts.

The city has given priority to planning and coordinating this effort. The Community Board Assistance Unit (CBAU) was created in the Mayor's Office to review the plans for coterminous districts formulated by each of the agencies affected, make recommendations for their revision as necessary, and integrate them for city-wide implementation.

The Fund's grant provided expert consultant assistance to the Community Board Assistance Unit and assisted in producing a policy report for use by the Mayor. The report contains, for each affected agency, a description of the agency's current interpretation of the Charter requirements, what the agency proposes to do to meet them, and any problems that appear to exist in the agency's plan.

For further information: Jewelle Bickford, Director, New York City Community Board Assistance Unit, Office of the Mayor, 51 Chambers Street, New York, N.Y. 10007.

Self-Help Neighborhood Awards Program

\$35,000 — 1976
\$12,500 — 1978

The Self-Help Neighborhood Awards Program (SNAP) is a cash awards program for outstanding "do-it-yourself" projects undertaken by neighborhood groups in New York. Sponsored by the Citizens Committee of New York, Inc., the program is designed to help people engage in projects benefitting their communities and the city, to dramatize self-help, and to stimulate such activities.

In 1977 the grants, limited to \$1,000 each, were awarded through a series of four competitions. Each competition was

based on a different area of service delivery: in January, security, crime prevention, and sanitation; in April, youth/recreation and parks/beautification; in August, child care/day care, housing, and health; and in November, senior citizens and education.

The Fund provided \$35,000 of the program's \$85,000 budget for its first year, worked closely with the Citizens Committee on the program's design, and helped locate other funding sources. The first year's competition resulted in awards of about \$60,000 to 199 organizations.

The awards were typically used to buy needed supplies. For example, the Featherbed Lane Youth Center in the Bronx used \$125 to purchase arts and crafts supplies for a local summer recreation program; the Bergen Street Block Association in Brooklyn spent \$130 for gardening supplies needed for a block beautification project; the Ozone Tudor Civic Association received \$400 to help establish a mobile security patrol; and the People's Development Corporation in the Bronx used \$500 for building materials needed to turn an old factory into office space.

The service categories for the second round of SNAP competitions were landmarks and historic preservation; community and tenants organizing; housing; and commercial revitalization. Over 200 awards amounting to \$72,000 were made during this round.

For further information: Sandra Silverman, Citizens Committee for New York, Inc., 3 West 29 Street, New York, N.Y. 10001.

Welfare Housing Study

\$13,360 - 1978

Welfare clients typically live in substandard housing. This is because landlords owning well-maintained decent housing are generally less willing to rent to them than to other potential tenants. Some landlords believe welfare clients will abuse the property, but the primary sources of this unwillingness are financial: the rent ceilings imposed by welfare legislation are often well below the fair market rents commanded by decent housing. This disincentive is exacerbated by the fact that welfare clients are often in arrears on their rent payments, and in some cases vacate an apartment rather than pay several months' overdue rent.

Where landlords do rent to welfare clients, they often counter these problems by "deferring" maintenance or not paying taxes; the housing then deteriorates even further. This cycle is accelerated by the fact that banks are disinclined to invest in neighborhoods where welfare clients reside. Some unscrupulous landlords take advantage of the situation by buying distressed housing cheaply, refusing to perform maintenance, not paying taxes, and filling the building with welfare tenants to make a quick killing at the expense of the welfare department.

The Federal Regional Council for the Northeast, a coalition of federal agency executives, asked the Fund to explore means of improving the circumstances of welfare tenants. The Fund furnished the Council with a study of the problem and a recommended strategy for its solution.

The strategy involved stimulating the private rental market by providing a mechanism to raise welfare rental payments to a level which would support adequate maintenance and to ensure that they are made on time. The Fund's study argued that such a strategy could provide incentives for landlords to rent to welfare clients and to undertake improvements in their properties.

The mechanism proposed was the creation (first on a demonstration basis) of a non-profit corporation authorized to rent

apartments in private dwellings on a long-term basis, and to sublet them to welfare clients. The corporation would, in effect, guarantee the timely payment of rents to landlords on behalf of welfare clients; this presumably would increase the willingness of landlords to take loans to improve the properties and the willingness of banks to grant the loans. Rents in excess of current welfare ceilings would be authorized where demanded by the local market, provided the landlord agree to adhere to a specific schedule of maintenance and improvement. The local welfare department would guarantee the payments of rent to the corporation. Welfare clients would then be able to compete more effectively in the market for private housing.

A plan for such a project, detailing the operation and fiscal organization of the corporation and the benefits that might be obtained, was submitted to the Federal Regional Council for its consideration. The Council's initial reaction to the plan was ambivalent; it favored a broader, structural change in the system of welfare rent payments and was skeptical of the significance of a demonstration project. It has not yet finally decided what changes, if any, it will recommend in its method of paying and controlling welfare rents.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Loft Conversion Study

\$15,000 - 1977

Three districts in Manhattan—Soho, Noho, and Tribeca—have been designated for the conversion of their vacant commercial and manufacturing space to residential uses. Despite this, a further 7,700,000 feet of office, commercial, and manufacturing space in Manhattan remains vacant. Because of the success of conversion in districts where it is legal, the City Planning Department asked the Fund for a grant of \$15,000 to study the feasibility of liberalizing zoning ordinances and conversion regulations in other parts of the city.

The study, entitled "Residential Re-Use of Non-Residential Buildings in Manhattan," is now complete. It found that conversions were taking place at a rapid pace in all areas of the city, even where such renovation was not permitted by the zoning regulations. Approximately 10,000 conversions of vacant hotel, office, and industrial space to lofts and apartments have been completed, and a significant number of the conversions have taken place without supervision from city agencies. Of 1,000 buildings studied, only 10 percent had obtained certificates of occupancy. The study group found that these "underground" conversions posed serious health and safety questions, and denied to owners, tenants, and participants in cooperative arrangements full legal protection of their investments.

The report recommended re-designation of several areas of the city as mixed-use zones in order to allow the conversion of industrial buildings to residential use, protect existing commercial uses, and avoid the physical hazards posed by a variety of building uses in a single area.

For further information: City of New York, Department of City Planning, 2 Lafayette Street, New York, N.Y. 10007.

Economic Recovery Plan

\$4,000 – 1976

In 1975 the Fund granted \$5,000, at the Mayor's request, toward the publishing of the city's Annual Report. In early 1976, at the city's request, \$4,000 of this grant was reapportioned to support the City Planning Department's preparation of a five-year economic plan for the city.

For further information: City of New York, Department of City Planning, 2 Lafayette Street, New York, N.Y. 10007.

Neighborhood Analysis Project

\$4,000 – 1976
\$10,000 – 1977

Data on New York City's housing, neighborhoods, and population are collected by a variety of public and private groups. However, a major impediment to using area data for policy planning has been the lack of a system of coordinating and analyzing the data from different sources, including the city agencies concerned with housing, taxes, social services, and education.

In 1973 Fund grants to the Citizens Housing and Planning Council (CHPC) helped establish a method for collecting these data and using them to study the relationship of property tax assessment practices to housing deterioration and abandonment. Results were published in *Aspects of New York City's Property Market: A Study of Trends and Market Values*, by Emanuel Tobier, December 1975.

Early in 1976 the Fund asked CHPC to explore the broader applications of Dr. Tobier's work, and, specifically, to study how to update the data from the 1975 report and make them more accessible to potential users such as planning boards, city agencies, and financial and commercial institutions. A \$4,000 grant was made in 1976 to support this inquiry. The result was a proposal for a collaborative project with the Department of City Planning called the Neighborhood Analysis Project, toward which the Fund granted a further \$10,000.

The purpose of the Neighborhood Analysis Project is to program and analyze data identified in the 1975 study and to produce computer reports that will facilitate the monitoring of change at the neighborhood, census tract, and block levels. Information will also be available to aid in the allocation of government resources, in the development of policy positions, and in long-range economic planning.

These neighborhood data profiles will be published and distributed by the Department of City Planning during the summer of 1979 in the form of community board handbooks. Each board will receive a portfolio of statistical reports on its neighborhood. Previously scattered across various city agencies, the profiles are now available in the computer files of the Department of City Planning, and will be accessible for a fee to such potential users as banks, insurance companies, and utility companies.

For further information: Arthur Zabarkes, Executive Director, Citizens Housing and Planning Council of New York, Inc., 20 West 40 Street, New York, N.Y. 10018.

Housing Code Enforcement Inquiry*

\$10,760 – 1977

During the summer and fall of 1977, the Department of Housing Preservation and Development (HPD) developed a proposal for using the city's code enforcement powers to preserve and improve housing which landlords were unwilling to maintain. The project was designed to focus on deteriorating but basically sound housing which could be rehabilitated by being made code-compliant. HPD would first urge landlords to do the work themselves and, if they refused, HPD would use public funds to make the necessary repairs, recouping this money from a lien placed on the building. At the request of HPD, the Fund agreed to develop criteria for selecting buildings for the project.

After extensive interviews with neighborhood housing and preservation groups, real estate experts, and HPD officials, the Fund recommended that a "building abandonment potential" index, developed by the New York City Rand Institute in 1972 but largely unused by HPD, be validated, updated, and used for selecting target buildings. The index includes census data, tax records, vacancy rates, and other measures of the physical and economic health of housing stock in the city.

Noting that the housing code itself was too long and too comprehensive to serve as a practical standard for the proposed program, the Fund further recommended that a short form of the housing code be developed. The shorter code would concentrate on those aspects of a building which most affect its habitability. The Fund also recommended that the proposed project encourage and enforce conformance to the shorter code.

However, the city administration which took office in early 1978 gave this project low priority and has not done further work in developing it.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

The Public Workforce



The Public Workforce: questions of its nature, selection, quality, training, organization, management, morale and productivity are all at the center of how well the city functions, and have always attracted a fair portion of the Fund's attention. Because labor costs are the largest and fastest growing cost of government, and because there are at least as many different strongly held opinions of municipal compensation levels as there are different sets of facts to defend them, the Fund set in motion a project, directed by the Urban Institute, to generate regular, reliable, comparative information on the total wages and fringe benefits paid to municipal workers per hour worked. It has also supported labor/management productivity improvement experiments, made grants for special recruitment and training programs, and tried to draw attention each year, in its Public Service Awards Program, to the several kinds of excellence represented in the best of those who make a career of working for the city.

Study of Public and Private Sector Compensation in Major Cities

\$12,000 – 1977
\$45,000 – 1978

No reliable comparative information exists on the total compensation—wages and fringe benefits—paid municipal workers in the United States. It is currently possible to get information on wages paid to firemen, for example, in Los Angeles, Chicago, and New York, but not on total compensation, total worker benefits, or total costs per hour worked in these cities for the same firemen. Given the relative importance of pensions and other fringe benefits in public worker compensation, comparative data on wages alone offer only a partial and often misleading picture.

The Fund thought it would be useful in municipal labor negotiations to have available a common basis for inter-city comparison and an agreed-upon means of calculating and expressing total compensation by type of worker. Also, information putting the city's municipal compensation structure into a national perspective should be helpful to the city's dealings with Washington, in that it might help dispel the impression that New York City pays its workers more across the board than other large cities. Finally, the Fund believed that a comparative study could be useful to other municipalities as well as to New York.

The Fund undertook an inquiry into the feasibility and utility of such a study, which resulted in a preliminary study plan and budget. Subsequently, grant funds were made available to the Urban Institute to carry out this study, projected for completion in early 1979. Support was also provided by the Urban Institute and the Charles H. Revson Foundation.

For further information: William Gorham, The Urban Institute, 2100 M Street, N.W., Washington, D.C. 20037

Analysis of Alternative Work-Week Schedules*

\$10,000 – 1977

Many of the city's labor contracts contain provisions for payment of Cost of Living Adjustments, or COLAs, which are wage increases linked to inflation rates. Exclusive of payment to teachers and transit workers, the city spent \$44 million in COLA payments in 1977, and \$144 million in 1978. The payments are conditional; they are made only if each municipal union and the city jointly agree to revised work patterns and conditions, innovative means of delivering services, or other measures designed to increase productivity. The increases in productivity must also result in savings to the city equal to the amounts of the COLA payments. The productivity measures to be adopted by each union are negotiated by joint management and labor committees organized at the city agency level.

The Fund's grant was used to secure the services of David A. Grossman, President of the Nova Institute, a private, non-profit organization that provides management assistance and fiscal analysis for city agencies and service organizations, and which has particular interest and experience in monitoring the performance of city agencies. Nova's work focused on work-week variations designed to reduce expenses for overtime and vacation relief. Nova's suggestions were incorporated in several agency-level negotiations and, as a result, work schedules were significantly changed in certain units in the Environmental Protection Administration, the Municipal Services Administration, the Department of Personnel, and the Board of Higher Education.

Among the schedule variations implemented was "flex-time," a system of staggering employees' schedules to avoid overtime payments. In the Department of Personnel, salaried employees now serve as proctors for Saturday morning examinations in exchange for shorter hours during the customary work week. The Department thus avoids the additional costs it has incurred in the past for hiring of proctors.

In other agencies, employees with field responsibilities extend certain of their work days to avoid losing time at the end of the day by returning to their central offices prior to going home. For example, Department of Consumer Affairs inspectors now work longer hours on fewer days, and in so doing have increased the number of inspections performed in a week.

For further information: Seymour Z. Mann, Deputy to the Executives, Municipal Labor Committee, American Federation of State, County and Municipal Employees, 140 Park Place, New York, N.Y. 10007.

\$59,450 - 1976
\$59,450 - 1977
\$64,000 - 1978

Public Service Awards Program

The Public Service Awards Program, begun by the Fund in 1973, annually presents tax-free cash payments of \$5,000 each to a number of outstanding career public servants of the City of New York. The awards are intended to call public attention to superior work on behalf of the city and its people, raise the morale and effectiveness of the city's employees, and encourage individuals to think of city service as a career.

The Fund's appropriations for 1976, 1977, and 1978, the fourth, fifth, and sixth years of the program, covered the cost of six awards each year and administration of the program. An independent selection panel chaired by Judge Edward Weinfeld, and including Bertram Beck, Jewell Bellush, Seymour Graubard, C McKim Norton, and Ana Conigliaro, selected the winners for 1976. They were:

Anthony V. Bouza, Bronx Boro Commander, NYC Police Department; Dominic L. Europa, Supervising Microbiologist, Bellevue Hospital; Claire L. Holbert, Secretary to Deputy Mayor Zuccotti; Theodore L. Karagheuzoff, Commissioner of Traffic; and Harry S. Tishelman, Deputy Finance Administrator.

Citations without awards were given to Kate Klein, Director of the Mayor's Action Center, and Acting Supreme Court Justice Jacob Lutsky.

The Selection Panel for 1977 and 1978 was chaired by Martin E. Segal, and included Joyce Phillips Austin, Armand D'Angelo, Evan Davis, Karen Gerard, and Mrs. Peter Heller. Their selections for 1977 were:

John T. Carroll, Municipal Services Administrator; Eunice K. Fiorito, Director, Mayor's Office for the Handicapped; Sidney Ifshin, Fire Chief; Walter Prawzinsky, Second Deputy Comptroller; Edward Rodriguez, Superintendent, New York City Housing Authority; and Anthony Russo, Director of Labor Relations for the City of New York.

The selections for 1978 were:

Helen R. Cassidy, First Assistant General Counsel for the New York City Transit Authority; Joseph Cuomo, general foreman for the Department of Parks; Charles Foti, Director of Operating Services, Department of Public Works; Thomas D. Guthrie, Police Inspector in charge of Police Motor Transport;

Joan Miles, Assistant Chief of the Bureau of Accounting of the Comptroller's Office; and Thomas Roche, New York City Director of Personnel.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016

Urban Academy: Program Support

\$5,000 - 1977

The Urban Academy, a joint venture of the New York City government and the City University of New York, was created in 1974 and offers training for all levels of municipal employees.

Since 1974, Urban Academy courses and seminars have been completed by over 3,000 students. The Academy also helped design work manuals for the city's new Integrated Financial Management System and trained employees in the operation of the system.

In January 1975 the Fund set aside \$50,000 to be used for general purposes by the Academy during its development phase. This money was used for four purposes: to help the Academy locate additional funding, mainly from the federal government; to help Urban Academy administrators learn about similar efforts in other cities; to help finance a pilot project, the College Accountants Task Force, aimed at speeding the processing of state and federal aid claims; and to cover the costs of providing expert consultant assistance to the Academy.

The College Accountants Task Force has succeeded in expediting the processing of claims amounting to \$45 million, producing savings to the city of between \$5 and \$8 million. Attempts to make this project an integral part of the reimbursement process have, however, been unsuccessful.

A \$5,000 appropriation made in the fall of 1976 supported a continuation of expert consultant services to the Academy.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016

Executive Recruitment

\$292.00 - 1976

In 1976 the Fund committed \$292 to a travel fund for bringing non-New York City residents for interviews for possible cabinet-level appointments with the City government.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Council on Productivity: Program Support*

\$29,235 - 1976

In response to a request from the Mayor's Office, the Fund contributed \$60,000 in 1974 toward the cost of establishing the Productivity Council, a labor-management group designed to identify and develop opportunities for improvements in city government productivity. Working through joint labor-management committees in several key city agencies, the Council worked to improve or maintain service levels during a period when cost-cutting had become a necessity.

The Fund's grant supported basic initial costs of Productivity Council staff work, including the identification of issues, the work of the agency labor-management committees, and the preparation of a report presenting findings and recommendations on productivity improvements in the city. The Council's work was halted by the fiscal crisis of the spring and summer of 1975. However, it resumed operation in 1976, financed through the city budget. In 1976, supplementary Fund grants covered operating and program costs for the period immediately preceding takeover by the city.

For further information: Council on Productivity, Office of the Mayor, 250 Broadway, New York, N.Y. 10007.

State and Regional Issues



The business of government in New York City is influenced and carried out to a substantial degree by governments headquartered in Albany and Washington. The Fund has always considered that its mission required a practical interest also in New York State, in the New York Metropolitan area, the Northeast, and in Washington activities. The grants and projects reported below are expressions of that interest.

Feasibility Study for a Coalition of Northeast Governors

Conference of Northeast Governors

New York City's fiscal crisis in early 1976, seen against the background of general economic and political decline in the Northeastern states, suggested that if the city was able to find relief through Washington, the most successful approach might be to align itself with the more substantial and broader interests of the entire Northeast region. The Fund engaged a consultant to explore the area's needs and the possible structure of a Northeast Coalition. At the same time, business leaders in the area and state government staff were thinking along similar lines. Consequently, discussions and an exchange of papers with state officials began in the spring of 1976 and contributed to the formation by early summer of a seven-state coalition (Connecticut, Massachusetts, New Jersey, New York, Pennsylvania, Rhode Island, and Vermont) with Governor Carey as its first chairman.

"The Need for a Northeast Coalition," the report produced by the Fund's consultant, documented instances where federal policy favoring the Southern and Western States had exacerbated natural economic problems. The report also detailed the disparity between federal outlays to the Northeast and the region's contributions to federal revenue. Together with a companion paper outlining the issues on ten specific economic problems, the report was used by the Coalition staff as a basis for drawing up an agenda for action. A grant of \$10,000 was set aside to cover the consultant's work on this question and that of other staff members through June of 1976. The Fund for New Jersey also contributed to this project.

The work of the Coalition resulted in a two-day Conference of Northeast Governors at Saratoga in November 1976. Out of this conference came proposals for federal and regional action on seven specific issues affecting the ailing Northeast economy. The Fund made an additional grant of \$20,000 to the Twentieth Century Fund, for the Northeast Regional Advisory Committee, toward the expenses of the conference and the preparation of conference position papers.

Northeast Regional Update

In October 1977 the Fund commissioned the same consultant to report on the Coalition's progress toward the goals set at the conference and to report on the activities of a companion coalition, the Northeast-Midwest Economic Advancement Coalition, which serves the congressional delegations from 16 northern industrial states. His report, "The Frostbelt Fights Back," was supported by a Fund grant of \$2,500 and contributions from the Fund for New Jersey, the Bridgeport Area Foundation, the Suisman Foundation, and the Coordinating Council for Foundations. It concluded that substantial progress had been made in Congress in furthering the interests of the Northeastern states, and

1976 — \$10,000 FCNY,
\$750 Fund for New Jersey

1977 — \$22,000 FCNY,
\$1,400 Fund for New
Jersey, \$450 Bridgeport
Area Foundation, \$250
Coordinating Council for
Foundations—Suisman
Foundation

called particular attention to the effective work of the Northeast-Midwest Economic Advancement Coalition.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Empire State Report: Program Support

\$35,000 — 1976
\$25,000 — 1978

Empire State Report is a four year old monthly journal reporting on government processes in New York State. It was created to provide more and better coverage of New York State government, which is increasingly powerful and relatively unexamined. It is one of three such state-oriented publications in the country. The *California Journal*, now eight years old with a paid circulation of 14,000, was the first. *Illinois Issues* was begun in 1976. All are modeled on the *Congressional Quarterly* and on the *National Journal*, and aim at being journals of record. They seek to present objective, exhaustive treatment of important issues rather than advocate positions or express opinions. The *California Journal* is reported to have achieved near self-sufficiency; it is able to operate on proceeds from subscriptions and advertising sales.

By September 1976 *Empire State Report* had won substantial editorial praise from both major political parties and many good government groups, but although its circulation has reached nearly 6,000, it had a far from adequate subscription income to cover roughly \$200,000 in annual operating costs. The Board of Directors concluded that there was still a good opportunity to recreate it and to achieve eventual self-sufficiency. Consequently, the Board transferred operation to the New York State Legislative Institute. The Institute took over the obligations of the magazine and began publication in January 1978.

The Fund had helped create and establish *Empire State Report*, and had, since the magazine's inception, supported it with grants and with editorial and administrative assistance. In 1976 the Fund made the magazine a \$35,000 general support grant. In 1978 an additional grant of \$25,000 was used to help support the magazine until it was taken over by the Legislative Institute.

For further information: Neil Fabricant, New York State Legislative Institute, Baruch College, 17 Lexington Avenue, New York, N.Y. 10010.

Evaluation of the Tri-State Regional Planning Commission

1977 — \$530 FCNY
\$750 Fund for
New Jersey

Criticism of the work of the Tri-State Regional Planning Commission intensified in 1976 following reports made by the New York State Legislative Commission on Expenditure Review, the Regional Plan Association, and the Suburban Action Institute. The reports charged that the Commission had failed to deal with the principal development problems of the metropolitan region, or had taken no position when an issue became controversial, and, in its role as a clearinghouse for billions of dollars in federal expenditures, had bowed to the individual priorities of the governors of the member states. It was charged also that Tri-State was largely inaccessible to the public and to the approximately 600 local governments within its jurisdiction.

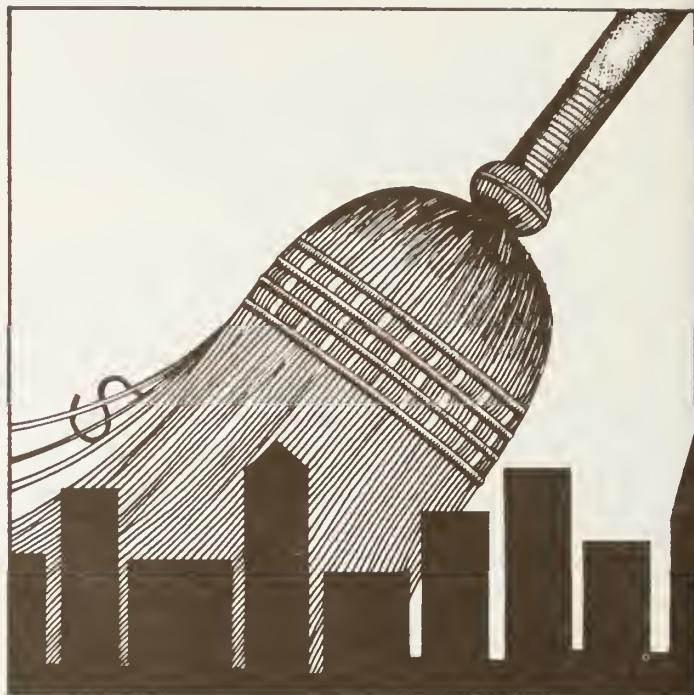
In response to these criticisms, and at the request of the chairman of the Tri-State Commission, a consultant experienced in regional planning was engaged jointly by the Fund for the City of New York and the Fund for New Jersey to prepare a current report on the Commission and make recommendations for its future structure and membership. "The Need for a Major Overhaul of the Tri-State Regional Planning Commission" was completed in March 1977 and made available to the Commission chairman.

The report confirmed that the Commission had performed in the past primarily as a rubber stamp agency for proposals from the governors' program administrators. Frequently, this resulted in duplicative or competitive programs and waste of federal funds. Furthermore, the structure of the Commission had not changed since Tri-State was created in 1961. The report therefore recommended that membership be expanded to include chief elected officers from local governments within the 42 congressional districts covered by the Tri-State planning mandate, and proposed a format for public hearings and debate. The report emphasized the Commission's mandate to provide leadership in approaching such broad regional issues as economic and racial segregation, environmental pollution, and options in land use policies and tax structures.

A bill passed the 1977 New York State Legislature incorporating some of the proposed changes but not providing for the recommended membership expansion. At the urging of the Regional Plan Association and other citizens' groups, it was vetoed by Governor Carey.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Streets, Sidewalks, and Parks



People think of the cleanliness of the city's streets as a measure of the efficiency of the city government and the behavior of its citizens and visitors. And probably it is. Moreover, whatever the complexities of modern government, getting the streets cleaner is an idea so straightforward and tangible, so susceptible to measurement, that those who counsel and think and write about government productivity improvement generally seize upon it first as a likely area in which to try out their ideas. The Fund was no exception: the first productivity project to which it contributed a substantial proportion of its resources over time was Project Scorecard, a regular, systematic, and objective rating and ranking of the cleanliness of the city's streets and sidewalks, designed at the request of the Sanitation Department. Since the Fund began work on Scorecard in 1973, it has earned the possibly dubious distinction of having perhaps devoted more time and money to the questions of street cleaning and garbage collection than any other foundation. They have been highly instructive subjects through which to learn in a practical sense about innovation and productivity improvement in government. Scorecard has been taken over by the city government, but the Fund is still working on productivity improvement questions in the Sanitation, Transportation, and Parks Departments suggested by Scorecard; these are reported on below. One Sanitation Department-related project, a study of two-man sanitation trucks in experimental use in parts of the city, was part of a larger effort to explore the benefits of new or better technologies to a variety of the city's operations; this project is reported on in the Miscellaneous section.

1976 - \$150,000 FCNY
\$98,000 NYC Department
of Sanitation

1977 - \$108,804

Scorecard / Sanitation*

1978 - \$46,566

This project provides a regular audit of the cleanliness of the city's streets and sidewalks. Each month, cleanliness ratings are generated for each of the city's 254 Sanitation Sections, 56 Districts, 11 Zones, and for the city as a whole. Daily, weekly, and monthly reports are produced for the Sanitation Department and for other appropriate city offices. The reports compare and rank the cleanliness of each administrative subdivision of the Sanitation Department. The subdivisions are compared against each other and against cleanliness targets established by the Department for each Subdivision. Scorecard provides a measure of cleanliness that takes account of the Sanitation Department's work, citizen behavior, the weather, and so on. The project has a data base spanning several years, making it possible to compare cleanliness trends over time, and it is sufficiently detailed to give an accurate reading at the Section level.

Five teams of two men each drive computer-identified routes in scientifically selected samples of each of the city's Sanitation Sections, and rate the streets and sidewalks against picture standards. The standards and rating scale were established in discussions with Sanitation Department experts and confirmed in public opinion polls. Ratings are spoken into tape recorders on the route, and are transcribed, coded, keypunched, and made available in computer reports within three days. Regular checks ensure the reliability of the data.

Initially developed and operated at the Fund, Scorecard is now run by the city's Office of Operations and budgeted in the Sanitation Department. From the outset, it was agreed that Scorecard should be operated independently of the Sanitation Department. Consequently, Scorecard data are accepted as valid inside the Department as well as outside.

Scorecard information on street cleanliness can be used in combination with resource allocation data such as the number of trucks or crews assigned to a particular function in a given area. It can also be compared with process measures, such as tons collected per truck-shift, to assess the effectiveness of particular cleaning, collection, and enforcement strategies; to make more strategic allocations of resources; to forecast potential trouble areas; and to hold line administrators accountable for the effects of their actions. Scorecard information is used inside the Sanitation Department, is built into the Mayor's Management Control Plan, and is paid active attention by the Mayor's Office.

However, the Fund estimates that less than a third of the project's management potential has been developed. It is potentially an excellent device for introducing a higher level of management consciousness throughout the Sanitation Department, and for helping to make "money" decisions as well as quality assessments. It provides critical and independent information to organizations such as "I Love A Clean New York" and to community planning boards and other groups, which are attempting to mobilize citizens to do their share in making the city cleaner.

In 1978 the Fund's objectives with Scorecard were: to complete its transfer from a Fund-administered project to one operated directly by the city; and to work with the Department and the Mayor's Office to increase its use at all managerial levels in the Department. The transfer process was complete at the end of January 1978, marking the end of the Fund's direct support of Scorecard's day-to-day costs.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Sanitation Code Enforcement Experiment*

\$5,000 - 1976
\$7,470 - 1977
\$35,200 - 1978

In February 1976 the Fund and the city's Sanitation Department jointly undertook a study to see whether better enforcement of the New York City Health and Administrative Code (the Sanitation Code) might increase public compliance, result in cleaner streets and sidewalks, and generate a fair stream of revenue.

An experiment was conducted in test areas using Scorecard workers and Scorecard techniques to measure the effects of intensive enforcement of the Sanitation Code on public compliance and the level of street and sidewalk cleanliness. After two weeks of concentrated enforcement in these areas, public compliance improved dramatically and streets and sidewalks were significantly cleaner. By the end of the fourth week, the percentage of acceptably clean blocks in the test area increased from the initial level of 44 percent to 70 percent; and, over the same period, the percentage of extremely dirty blocks fell from 18 percent to 2.5 percent. No change in cleanliness occurred in the control area over the same period. These results led to the conclusion that a strong enforcement program would be likely to produce significant benefits in improved cleanliness and increased revenue, and would offer a cost-effective alternative to an expensive increase in cleaning and collection services.

The study led to a subsequent three-party project financed and conducted by the Fund and the City Departments of Sanitation and Transportation. The project had several goals: to develop reliable estimates of the actual revenue produced per ticket issued for different areas of the city and for the different types of codes violated; to survey the number and types of violations that occur in each area of the city; to determine which procedures in which agency are most productive in issuing summonses and collecting fines; to identify which mixes and levels of enforcement activities produce the highest levels of cleanliness; and to develop a cost-benefit analysis of the findings, which would guide the city in determining where the parking enforcement function would best be lodged—whether in Sanitation or Transportation.

This work began in late September, 1978, and is scheduled for completion in 1979. It is too early to tell precisely what income or cleanliness improvements can be expected from this project. However, even a small improvement in the effectiveness of the city's enforcement program—say 5 percent—would produce increased income of at least \$4 million a year.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Sanitation District Cooperative Study*

\$5,000 - 1976

By 1976 the Fund had given considerable general support to the work of the Mayor's Council on Productivity, which was exploring opportunities for savings in a number of city agencies. At that time, a proposal to convert city sanitation services from the Department of Sanitation to contractual arrangements with private carters had found considerable support. Some studies indicated that significant savings could be realized by contracting for collection services rather than having the function performed by city personnel. Other studies indicated that savings, if any, would be negligible, since the other major functions traditionally performed by sanitationmen—cleaning and snow removal—would still be required, and since these services could not be performed by private parties under contract with the city.

The Productivity Council staff proposed a study of a third alternative: a demonstration project in which selected sanitation districts would be converted into worker-owned cooperatives, either as profit-making or as public-benefit corporations. The Council asked the Fund for \$5,000 to enable it to explore the idea and to retain legal and other consultants to examine issues and problems that might be encountered in forming a sanitation cooperative.

In its study of this approach, Council staff concluded that cooperatives could improve morale, increase productivity, and encourage innovation. However, several important issues and potential problems would have to be confronted. These included legal barriers to the formation of the corporations, problems of management recruitment, "portability" of employee pension benefits from the city plan to a private system, and the relationship of the cooperatives to Community Boards in the districts in which they would be situated under the "coterminality" mandate of the new City Charter. The staff concluded that most if not all of these issues could be resolved.

A draft proposal for two experimental, employee-owned cooperatives resulted from the Fund's grant and was submitted to the Office of the Mayor, the Department of Sanitation, the Bureau of the Budget, and the appropriate union leadership for consideration. However, the plan has little chance of implementation in the foreseeable future. A number of factors combined to diminish the city's interest in it, among them the transition between administrations and strong opposition from the city's private carters.

For further information: Bruce McIver, Council on Productivity, 250 Broadway, New York, N.Y. 10007.

Preliminary Inquiry on Sanitation Department Management Control System*

\$1,200 - 1976

Early in 1976, following a series of Management Task Force meetings organized by the Mayor's Office, the Fund was asked to conduct a brief study and to make recommendations for setting up a management information and control system in the Department of Sanitation.

The study, conducted in March 1976, identified and described the most useful measures of Sanitation Department operations and their application. It recommended that the Department develop indicators by establishing standards and performance measures for the smallest accountable administrative units—the sanitation section and the individual truck shift. It also recommended that, to overcome current limitations in field data, the Department concentrate on collecting accurate information in selected sample areas, enabling it to make better informed decisions about work performance without restructuring the entire information system. As far as is known, the recommendations were not pursued.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

1977 - \$55,050 FCNY
\$50,460 NYC Department
of Parks and Recreation

1978 - \$59,100 FCNY
\$9,885 NYC Department
of Parks and Recreation

Scorecard/Parks*

Scorecard/Parks monitors the cleanliness of parks properties and the state of repair of playground equipment such as swings, slides, and seesaws. It generates information about each of the Parks Department's 44 maintenance and operations districts in the city. Unlike Scorecard/Sanitation, which had a long incubation period at the Fund, Scorecard/Parks was operated from the outset by the city. The Fund was active in designing and refining but not in operating the monitoring system.

The Scorecard/Parks systems monitors two things: cleanliness and equipment usability. Because of the enormous variety and acreage of properties maintained by the Department—landscaped parks, playgrounds, beaches—the city decided initially to limit the scope of the rating system to a definable group of parks with similar characteristics, and to monitor them each month. The city decided to rate only hard-surface areas such as playgrounds and sitting areas. Like the Sanitation system, Scorecard/Parks uses sample data. The sample units are specified hard-surface areas in parks in each maintenance and operation district.

The system also monitors the usability of the more than 20,000 pieces of conventional equipment located in approximately 800 playgrounds throughout the city. Written standards outlining the range of repair problems found in each of the eight types of rated equipment were developed by the Fund with the help of Park Department line managers. Usability ratings are taken on all equipment in the city's playgrounds.

Scorecard/Parks is developed to operate city-wide. When the system is fully operational, cleanliness and equipment usability ratings will be conducted in alternate months. Cleanliness reports are produced for each district, and aggregate information is produced on each borough and for the entire city. Usability reports are generated on individual properties and aggregated to district, borough, and city-wide levels. Information summarizing the usability of each type of equipment is also aggregated at these levels.

In 1978 the Parks Department contracted with the Fund to undertake a series of analyses and consultations to help the Department make better and more systematic use of Scorecard and other management information. This work was interrupted when the city's Office of Operations found itself too shorthanded to deliver the monthly Scorecard reports. It is not yet known how long the interruption will last.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Miscellaneous Projects



Support and Training for Women's Hotline and Counseling Program \$2,000 - 1976
\$8,660 - 1977

Abused Women's Aid in Crisis (AWAIC) is a non-profit organization offering assistance to battered women and their children. It is one of the first attempts in the United States to confront this problem and, since February 1975, it has offered assistance to hundreds of women in the tri-state area and in the nation at large. AWAIC provides telephone and crisis intervention; individual, group and couple counseling; advocacy and escort service through various public agencies; a nationwide clearinghouse for information and referrals; referrals to protective shelters; training and consulting services to other social services programs; and various community outreach programs, including a speaker's bureau and family life dramatizations.

The Fund made a \$2,000 grant to AWAIC in January 1976, when the organization was short of funds and in danger of having to suspend services. The Fund's grant helped AWAIC through a critical period, and in the following months the organization obtained almost \$60,000 in support from other organizations.

In June 1977, AWAIC and the Henry Street Settlement contracted with the city's Human Resources Administration (HRA) to provide the city's first shelter program for battered women. AWAIC agreed to conduct staff training sessions on problems of battered women for its own staff who would be responsible for screening and referrals, for staff at the Henry Street program who would be responsible for day-to-day assistance, and for HRA staff at an income maintenance center that would be part of the city-wide HRA program scheduled to begin in September 1977. The training programs were an essential step in the city's efforts to implement an efficient and sensitive network of services for battered women, and were conducted in two three-month sessions. The training sessions were generally seen as beneficial and important to the shelter program, with all the responsible parties

able to work from a shared perspective on the special needs of the women. The Fund made a grant of \$8,660, matching funds allocated by HRA, to cover AWAIC's cost for beginning sessions.

For further information: Maria Roy, Executive Director, Abused Women's Aid in Crisis, GPO 1699, New York, N.Y. 10001.

Center for Women in State

Government:

Start-Up Support

\$3,125 - 1977

While New York State generally has a history of combating discrimination, current data indicate that women working for the state are, for the most part, relegated to dead-end, low-paying jobs. To make the state system more responsive to the abilities of women, and to coordinate the activities of various groups seeking to address the problems of women employed by the state, a Center for Women in State Government was designed.

A grant from the Ford Foundation supported initial research for the Center. In September 1977 a \$3,125 grant from the Fund enabled the director of the Center to complete a proposal and secure funding from several sources: \$46,000 from the Ford Foundation; \$1,000 from the Playboy Foundation; and \$50,000 in-kind support for office space and telephones from the Department of Comparative Development of the Graduate School of Public Affairs, State University of New York at Albany. Staff support for six people has also been secured through the CETA employment program.

With its new funding, the Center has embarked on several projects, including a Union Women's Task Force, the research design for a study of how career ladders affect working women, and a highly successful Career Day in Albany.

For further information: Nancy Perlman, Center for Women in State Government, 260 Washington Avenue, Albany, N.Y. 12210.

Shelter and Services for Shopping

Bag Ladies

\$2,000 - 1977

Newspaper reports of an increase in the number of women vagrants, particularly in the mid-town section of the city, prompted the Fund to look into this problem early in 1977. Meetings were held with staff of the Manhattan Bowery Corporation, which provides services and a facility for homeless men, and it became clear that little information was available on the numbers, histories, or medical and psychological needs of these "shopping bag ladies" as they are called. It was thought that many were former mental patients who had been released under programs for community treatment, that many received some sort of Welfare or Supplementary Security Income Assistance but chose the "freedom" of a street environment, and that most had psychiatric and other medical problems arising from their way of life. It was clear also that sufficient residential facilities were not available, even if some of the women wanted this kind of assistance—the city's 47-bed Women's Shelter had turned away more than 800 women in 1976.

The Manhattan Bowery Corporation proposed to look into various alternatives for dealing with the needs of these women, and to produce a report on particularly promising program pos-

sibilities and funding sources. The Fund made a grant of \$2,000 for this work.

For further information: Edward I. Geffner, Administrative Director, Manhattan Bowery Corporation, 8 East Third Street, New York, N.Y. 10003.

Mayoral Transition Project

\$20,000 - 1978

On November 7, 1977, Edward I. Koch was elected Mayor of the City of New York. Several days later, the Fund made the above grant to the Urban Academy to support work to be done by and for the new mayor's transition team. This work had several goals: (a) identify issues that would be of special concern to the new mayor; (b) identify information and possible options on these issues; (c) assist in locating managerial talent; and (d) help ensure smooth transition from the administration of Mayor Beame to that of Mayor Koch. The Fund also helped the transition team get its proposal considered by a number of other foundations. Nearly \$90,000 was raised from all sources for the project, which operated for the two months between the time of the new mayor's election and his taking office. Papers were prepared on several dozen subjects and used for briefing the mayor's new management team. The work is reported to have been extremely useful in helping shape the new administration.

For further information: George McGurn, Executive Director, CUNY Urban Academy for Management, Inc., 55 West 44 Street, New York, N.Y. 10036

1976 - \$50,000 FCNY
\$30,000 US Environmental
Protection Agency
\$5,000 The Florence
Burden Foundation

Applying Technology to Government Problems*

1977 - \$31,000 FCNY
1978 - \$9,700 FCNY

For three years the Fund has conducted a small program of research and experimentation in means of improving government productivity through the application of readily available technology. Underlying this project is the assumption that many opportunities for productivity improvement are lost to city government for want of a broker between it and the organizations that design, manufacture, and sell hardware suitable for use in carrying out the government's business.

With an initial appropriation of \$50,000, the Fund planned to seek out and develop individual projects, secure collaborative funding from other sources for particular projects, and investigate the possibility of setting up a separate non-profit institute to undertake technology transfer projects on a continuing basis.

The Fund has considered several ideas: making the Housing Authority responsible for collecting refuse; outfitting motor scooters with simple brooms; using treated sludge as fertilizer in the parks; installing a microwave link between Legal Aid officers and Legal Aid clients on Riker's Island; and using less labor-intensive and more efficient sanitation trucks in certain parts of the city. The latter two investigations were supported by grants

from the Florence Burden Foundation and the Federal Environmental Protection Agency.

The sanitation truck experiment is the most developed. The Fund conducted a field test of a new, two-man truck system in selected Sanitation Districts in the fall of 1977. Results indicated that annual savings of \$25 million are possible through the substitution of two-man trucks in certain areas of the city. Our recommendation for the acquisition of such trucks was approved by the Sanitation Department and is included in the administration's budget. The Fund is currently helping the Department develop this project further.

A feasibility study on a microwave link between Legal Aid and Riker's Island, conducted under contract for the Fund by G. Edward Hamilton and Company, communications consultants, suggested a one-borough pilot project, and funding for this project has been sought from federal sources, but has not been obtained.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Volunteer Transportation

\$500 - 1978

The Mayor's Action Center, a citizens' complaint and information service established by Mayor Wagner in 1966, received more than 111,000 calls in 1977. Many of these were handled by the volunteers who staff the Center from 5 p.m. to 11 p.m.

Until the fall of 1975 the Mayor's office provided transportation for the volunteers who stayed downtown on the 8 p.m. to 11 p.m. shift. This service was eliminated at the beginning of the fiscal crisis, however, and since that time grants from the city's banks have covered the cost of transportation.

Negotiations with the banks were slowed somewhat during 1978. The Fund's grant enabled this service to be continued during that period.

For further information: Kate H. Klein, Director, Mayor's Action Center, The City of New York, Office of the Mayor, New York, N.Y. 10007.

Reward for Evidence on Transportation Department Fire

\$5,000 - 1978

On the night of April 27, 1968, fire was set to 17 Transportation Department trucks garaged at a pound in Queens; 5 were destroyed and 12 others severely burned, resulting in an estimated \$200,000 worth of damage. It was suspected that arsonists were responsible for the fire.

Soon after the incident, Mayor Edward Koch announced his intention to see that everything possible be done to support the Transportation and Police Departments' attempts to identify, convict, and jail those responsible. He wished to offer a reward for information on the incident, but realized that the delays necessarily involved in getting government funds appropriated for this purpose would undermine the effectiveness of the reward offer.

The Fund made a grant to cover payment of such a reward, contingent upon the city's determination that the conditions set for granting the reward had been met. Thus far, these conditions have not been met, and the monies remain with the Fund.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Management Systems Assistance for Neighborhood Legal Services Offices*

\$3,000 - 1978

New York Lawyers for the Public Interest (NYLPI) helps meet New York's needs for public interest legal services, serving as a clearinghouse for public interest projects that it develops and then refers to one of its 20 participating law firms. The city's 23 Legal Services offices have regularly benefitted from the availability of legal expertise from NYLPI's participating firms.

Nevertheless, the resources available to Legal Services are inadequate to meet the demand. While among the population at large there is about one lawyer for every 1,000 people, among the poor this ratio falls to approximately one to 10,000. It is essential, therefore, that Legal Services' legal resources be used in the most efficient and effective way possible. One potentially useful approach being pursued by NYLPI is to use the managerial expertise (for example, experience and skill in managing offices, clerical and professional staffs, libraries, and time accounting systems) of NYLPI firms to help Legal Services offices operate more effectively. The transfer of such expertise, of course, is not easily accomplished, as the resources of the NYLPI firms differ, as do the needs and perspectives of the Legal Services offices.,

NYLPI retained a consultant to identify these various resources and needs, report on the feasibility of programs to transfer such expertise and, if appropriate, develop a demonstration project for the program. The Fund provided a grant to make this work possible. Shortly thereafter, the Legal Services Corporation agreed to provide further funding to expand the effort.

At the end of 1978, administrative assistance as described in the grant proposal had been provided to a small sample of Legal Services offices. Preliminary indications were that this type of assistance is very successful, and is needed on a larger scale. The consultant's final report will be available early in 1979.

For further information: Daniel L. Kurtz, New York Lawyers for the Public Interest, Inc., 36 West 44 Street, New York, N.Y. 10036.

Organizing the Volunteer Services of Older Lawyers

\$2,500 - 1978

For some years, the Association of the Bar has given sponsorship, offices, and other support to pro bono efforts of young lawyers through such groups as the Council of New York Law Associates, the Young Lawyers Committee, and the New York Lawyers for the Public Interest, Inc. In addition, there is a growing awareness of the fact that the most experienced and readily available legal talent—older lawyers—is not being used. During the summer of 1977, the Association obtained the services of Judge Edward Thompson, the retiring Administrative Judge of the New York City Civil Court, to lead a project to organize and use the services of older lawyers to assist indigents and other individuals and groups who have little access to such services.

The Fund's grant was made to provide start-up support for this project, which got under way early in September 1978. To date,

the project has used the services of retired lawyers to begin the following projects:

- Reduction of a backlog of cases under consideration by the Association's Committee on Grievances.
- Monitoring judges whose terms were about to expire and whose qualifications for reappointment were being reviewed by the Association's Judiciary Committee.
- Participation in a program of law-related education in the secondary schools.
- Providing assistance to teachers in dealing with unlawful conduct of students in their classes, including the preparation of a handbook for teacher guidance.
- Providing arbitrators for the Small Claims Court.
- Establishing a telephone service for elderly persons who cannot otherwise afford legal advice to call the Committee's office for legal assistance.

For further information: Justice Edward Thompson, C/O The Association of the Bar of the City of New York, 42 W. 44 Street, New York, N.Y. 10036.

Mediator Training for Dispute Center

\$8,000 - 1977

In 1975 the Institute for Mediation and Conflict Resolution received a grant from the Law Enforcement Assistance Administration (LEAA) to establish a Dispute Center where interpersonal disputes resulting in criminal complaints could be resolved through mediation and arbitration in lieu of criminal prosecution. Mediators, who were recruited from the community and intensively trained at the Institute, have helped hundreds of disputants to arrive at lasting out-of-court settlements.

Initially, only non-arrest and misdemeanor-arrest cases involving persons known to one another were referred to the Dispute Center. However, given the Center's success in mediating these cases, the Manhattan and Bronx District Attorney's Offices requested that the Center's services be expanded to include other interpersonal felony complaints. Clearly, the anticipated increase in caseload would strain an already understaffed Center, and a training program for new staff could not be included in the third-year budget according to the terms of the LEAA grant. Therefore, at the request of the Institute for Mediation and Conflict Resolution, the Fund granted \$8,000 to the Dispute Center to cover the costs of training 36 additional mediators, permitting a 100 percent expansion of caseloads.

The work of the Center has attracted attention from organizations such as the American Bar Association and the Justice Department, which are currently seeking alternatives to litigation. The Center is assisting the Vera Institute of Justice in its research and documentation of the impact of mediation on the court system as a whole. By relieving the court of cases which may be inappropriate for criminal prosecution, limited court resources may be used more effectively.

For further information: George Nicolau, Executive Director, Institute for Mediation and Conflict Resolution, 49 East 68 Street, New York, N.Y. 10021.

Community News Service: Emergency Support

\$3,000 - 1977

The Community News Service (CNS), a non-profit news service providing the city's major newspapers and radio and television networks with daily reports of events, news stories, and opinion trends of New York's minority communities, was founded in 1969 with support from the Ford Foundation and several other foundations.

An emergency loan of \$3,000 was made to CNS in August 1975 to meet a payroll deadline and to carry the organization through until the time of an already scheduled fund-raising luncheon. CNS continued in operation for several months thereafter but was not successful in securing long-term funding, and the project was terminated in September 1976. The loan was converted to a grant in February 1977.

For further information: Fund for The City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Fund for Investigative Journalism Feasibility Study

\$1,500 - 1978

Coverage of New York City affairs by the city's news media seems to suffer from a dearth of comprehensive, analytical reporting on the more complex, less immediate issues affecting New Yorkers. Pressures among and within news sources are such that reporters may not have time to develop expertise in the more subtle, though important, aspects of the issues about which they report. Daily deadlines also contribute to the pressure to avoid broad, long-term issues. Thus, the media may be caught unawares when a long-simmering issue—for example, the city's financial crisis—comes to a boil.

Paul du Brul, co-author with Jack Newfield of *The Abuse of Power*, has proposed that an independent investigative entity be created which would focus on the problems of the New York area. This enterprise would comprise two major efforts: (1) a Free-Lance Stipend Program, which would underwrite research on long-term issues by free-lance writers, and which would circulate any articles developed to media contacts and community leaders; and (2) a Metropolitan News Bureau, a permanent staff of seasoned investigative reporters whose stories would be released on a copyright basis to all the city's media outlets.

The Fund made a grant to the Suburban Action Institute to support du Brul in a feasibility study of the project. The Stern Foundation also assisted in this effort.

The work will result in a final, refined proposal to be presented early in 1979 to potential sources of further funding.

For further information: Paul Davidoff, Suburban Action Institute, 257 Park Avenue South, New York, N.Y. 10010

The Foundation Center: Program Support

\$500 - 1976
\$500 - 1977
\$500 - 1978

The Foundation Center is the only independent, not-for-profit organization in the United States dedicated entirely to the gathering, analysis, and dissemination of factual information on philanthropic foundations. Its two main purposes are: (1) to act as a useful resource to anyone interested in applying to grant-making foundations for funds; and (2) to compile reliable descriptive data and statistics on foundations for the use of foundation trustees and officers, regulatory agencies, and other interested organizations and individuals.

For each of the past three years the Fund has provided \$500 to the Foundation Center for general support. These funds are used by the Center to underwrite the continual expansion of their publication activities and library services.

For further information: The Foundation Center, 888 Seventh Avenue, New York, N.Y. 10019.

FCNY Grantee Monitoring and Evaluation

\$23,100 - 1976
\$17,794 - 1977
\$11,250 - 1978

During the last few years, the Fund has made a concerted effort to keep in close communication with grantees, in order to monitor and evaluate performance and to lend assistance in program and board development, fund-raising, and policy implementation. This approach has been informative for the Fund's staff and Board, both in making subsequent grant decisions and in keeping abreast of developments in projects the Fund has supported. Perhaps most important, the Fund has been able to provide on-going assistance to its grantees, as the descriptions in this report indicate.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.

Technical Assistance to Fund Grantees and Other Groups

\$10,000 - 1976
\$11,000 - 1977
\$16,500 - 1978

For some time, the Fund has seen the need and accepted the responsibility for providing its grantees with assistance of various kinds beyond the granting of funds. This has usually meant fund-raising assistance, either through help with proposal writing and/or intervention with other funding sources; aid in book-keeping and fiscal management; and suggestions on useful contacts with other private or public agencies.

Most of this work has been accomplished through the consultancy of Mr. James Cavanagh, former First Deputy Mayor of New York City. Mr. Cavanagh is able to bring his extensive government experience to bear on the problems that local agencies often encounter in dealing with government bureaucracies. While the agencies to which Mr. Cavanagh has provided assistance are too numerous to mention, they include:

- Bronx Frontier Development Corporation: helping obtain the necessary government clearances to enable it to cultivate the compost needed for urban gardening programs.
- Pratt Institute: helping obtain federal redevelopment funds to "recycle" an abandoned Army terminal.
- Discovery Rooms for Children Day Care Center: helping obtain a Certificate of Occupancy.
- Project Greenmarket: helping identify appropriate sites in the city for farmer's markets.
- Bowery Residents Committee: helping negotiate a Small Business Administration loan to open a luncheonette staffed by ex-alcoholics.
- East Harlem Boiler Repair Shop: expediting payment for work done on behalf of a city agency.
- The Big Apple Circus: helping locate appropriate sites for a one-ring circus.
- South Street Seaport Museum: helping to bring the museum into compliance with building and fire codes.

For further information: Fund for the City of New York, 419 Park Avenue South, New York, N.Y. 10016.





CETA CONTRACT
MANAGEMENT

CASH FLOW
LOANS

SCORECARD

GREEN MARKET

URBAN
HOMESTEADING

HEALTH CARE
QUALITY
PROJECT

Viskup 1979

THE FUND'S CASH FLOW LOAN PROGRAM

The Fund's Cash Flow Loan Program was established to help non-profit organizations who are suffering cash flow shortages because of processing delays in government grants and contracts. The loan program was conceived as a quick means of providing the needed temporary relief. Started in late 1975, the program had made 148 loans by the end of September 1978, and Chemical Bank, the Community Service Society, and Exxon had added to the Fund's original loan pool with loans and grants.

Guidelines and Procedures for the Cash-Flow Loan Program

Typically, potential borrowers contact the Fund by phone, and are asked some preliminary questions. The group then submits a letter describing its program, giving details of its contract, and setting forth the reasons why a loan is required, how much is needed, how funds would be used, and when it would be repaid. The Fund reviews these materials and discusses them with the funding source. A loan request may be denied if a group has too many outstanding loans, if the organization is unstable, or if its cash flow problems are caused by poor management.

The procedures enable the Fund to act quickly. The group can receive a loan in less than 24 hours, although the average time between request and delivery (if funds are available) is three to five working days.

Assisting Government Funding Agencies

The loan program, of course, alleviates a symptom, leaving the basic problem unsolved. With the assistance of a consultant from the Ford Foundation, the Fund has worked with two agencies with particular contract processing problems, the New York State Council on the Arts and the New York City Criminal Justice Coordinating Council. Both agencies had already begun to improve contract processing, and welcomed further assistance.

The Fund's analysis of the steps taken by the New York State Council on the Arts, "Paying the Piper, the Painter and the Playwright: Improvements in Contract Processing at the New York State Council on the Arts," showed that new management at the Council had reduced the time from approval to receipt of funds by applicants from 154 days to 76 days through fiscal 1976 to fiscal 1977. The Fund expects to assist the Council in solving remaining processing problems, and to apply that experience in working with other government agencies.

The New York City Criminal Justice Coordinating Council (CJCC) poses special problems. Grants of approximately \$4.5 million in federal monies pass first through New York State and then filter down to the city. The Fund's study, "Getting Paid: The Cash Flow Problems of Non-Profit Criminal Justice Agencies in New York City," found that CJCC's improvements in its own procedures had only a modest effect in easing cash-flow problems, because much of the process and accompanying delays involve state agencies. The Fund is now working to extend its efforts to the state level.

LOANS 1976-1978

Loan Recipient

Neighborhood Youth Diversion Program

Government Contracting Agency

NYC Human Resources Administration's Office of Special Services for Children

Amount Loaned: \$10,000 Date of Loan: 2-25-76

The Neighborhood Youth Diversion Project (NYDP) was designed as a community-based alternative to the juvenile justice system. Without NYDP, boys and girls between the ages of seven and fifteen who face court action as delinquents or as persons in need of supervision would face possible placement in foster homes or in correctional institutions. At the time of the loan request, over 1,200 youths had participated in the project. The loan enabled NYDP to meet payroll expenses while its contract was finalized in HRA's Office of Special Services for Children.

Loan Recipient

Association of Neighborhood Housing Developers

Government Contracting Agency

NYC Department of Employment's CETA Program

Amount Loaned: \$10,000 Date of Loan: 3-2-76

The Association of Neighborhood Housing Developers, the master organization of the city's community-based housing groups, negotiated a job training and housing rehabilitation program for five apartment buildings in Brooklyn and Manhattan, using federal CETA funds and rehabilitation loans from NYC's Housing and Development Administration. Work on the buildings had begun, but the city was slow in processing the approved contract. The Department of Employment, which processes CETA funds, assured the Fund that funds should reach the Association shortly, but not soon enough to meet payroll deadlines. Consequently, the Fund approved a short-term loan.

Loan Recipient

Citizens' Inquiry on Parole and Criminal Justice

Government Contracting Agency

NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 4-14-76

Citizens' Inquiry is an organization concerned with the rights of prisoners and the fair use of parole as a criminal justice tool. The Fund awarded it a grant for the preparation and publication of a

booklet on probation for New York City probationers. The handbook described the probation system in detail, and remains a definitive source of information not only to probationers but also to corrections personnel, lawyers, and community groups working in the criminal justice system. Due to contract processing delays, the organization needed a loan to meet project expenses.

Loan Recipient

East Harlem Interfaith: Boiler Repair Shop

Government Contracting Agency

NYC Housing and Development Administration

Amount Loaned: \$10,000 Date of Loan: 4-20-76

The housing office of East Harlem Interfaith established its Boiler Repair Shop in March 1975 to service tenements in need of heat and hot water. During that year, it completed 125 jobs for non-profit housing groups, for responsible local landlords, and for the city's Emergency Services Division of the Housing and Development Administration (HDA). For repair jobs under \$1,000, the Boiler Repair Shop billed HDA and received payment with minimal delays. HDA was also billed for jobs costing over \$10,000, but final approval rested in the comptroller's office. Lengthy delays there made it difficult for the Boiler Repair Shop to take on new projects, as it had to expend funds for parts and labor. The loan was made to enable East Harlem to cover salary and equipment costs incurred by the Boiler Repair Shop. The shop was forced to close in 1977, in part as a result of continuing cash-flow problems. However, the Fund was reimbursed in full since the comptroller's office approved payments for past jobs.

Loan Recipient

New York Committee for Young Audiences

Government Contracting Agency

NYC Board of Education

Amount Loaned: \$10,000 Date of Loan: 4-20-76

Young Audiences is a 25-year old organization that organizes and presents programs of music, drama, and dance to children in schools throughout New York City and the greater metropolitan areas. Programs and workshops are conducted by professional artist-teachers and provide an opportunity for discussions between the performers and the audience. Due to contract processing delays, Young Audiences needed a loan to meet payroll expenses and performers' fees.

Loan Recipient
Advocates for Children
Government Contracting Agency
NYC Board of Education

Amount Loaned: \$10,000 Date of Loan: 4-12-76

Advocates for Children was organized to increase the services available to poor, emotionally and socially handicapped children by carrying out an extensive advocacy program in children's rights and by providing direct services to children through its Martin de Porres School for Exceptional Children. The loan enabled Advocates for Children to meet school operating expenses until reimbursement was received for children enrolled under a contract with the Board of Education.

Loan Recipient
Association of Neighborhood Housing Developers
Government Contracting Agency
NYC Department of Employment's CETA Program

Amount Loaned: \$10,000 Date of Loan: 4-22-76

As on an earlier occasion, the New York City Department of Employment's delays in meeting the Association's requisitions prompted the Association to ask the Fund for a cash-flow loan. The loan was approved, and enabled the Association to meet both requisition and payroll expenses.

Loan Recipient
Greater Jamaica Development Corporation
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$10,000 Date of Loan: 4-29-76

As part of its efforts to build Jamaica into a sub-regional center, The Greater Jamaica Development Corporation (GJDC) leased the Jamaica Arts Center. The plan was to rent approximately one-half of the space to arts and arts-related organizations, and to provide the remaining space for public arts activities. Due to contract processing delays, GJDC needed a loan to meet building operating costs. This loan also helped the corporation find more tenants for the building, which increased their rent roll, thereby ensuring the viability of this portion of GJDC's mission.

Loan Recipient
East Harlem Halfway House
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 4-30-76

At the time of this loan, this halfway house for ex-offenders was serving as a residence for 55 men housed for two-month periods, and was assisting many others in finding work. Annually, approximately 600 men and women received services. An evaluation made by the Institute of Law and Social Process found that the East Harlem Halfway House was "most effective" in reducing recidivism and was also cost-effective. Due to delays in processing of reimbursement vouchers, East Harlem needed a loan for operating expenses.

Loan Recipient
Project Green Hope: Services for Women
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 5-18-76

Project Green Hope provides a number of services to women ex-offenders, including a "halfway" residence, designed to ease their transition from prison life to society. At the time of the loan, Green Hope was the only multi-support program directed to the problems of female ex-offenders operating in the city. Due to contract processing delays, a loan was needed to pay the staff.

Loan Recipient
New York Urban Corps (through the NYC Voluntary Action Corporation)

Amount Loaned: \$5,000 Date of Loan: 5-20-76

The New York City Urban Corps runs one of the largest public service internship programs for university students. Through the program, approximately 5,000 students each year have been placed in positions in municipal government. The students are paid by the Urban Corps, which in turn receives funds from the employer institutions. The Urban Corps had established an advance fund to assist the interns in the event that the payments from the institutions were delayed. Demands on the advance fund were, of course, quite heavy during the summer months, given the bureaucracies of the participating institutions. In 1975 the Fund had made a loan of \$2,500 to enable the Urban Corps to meet the needs of student interns. The 1976 loan was made in anticipation of bureaucratic delays.

Loan Recipient

Association of Neighborhood Housing Developers
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 7-7-76

The Association of Neighborhood Housing Developers, an organization of the city's community-based housing groups, entered into a contract to conduct an on-the-job training program in connection with housing rehabilitation efforts in the Bronx. As in the case of an earlier loan against a Department of Employment contract, the Association needed a loan to cover operating expenses due to contract processing delays.

Loan Recipient

Boys' Choir of Harlem
Government Contracting Agency
NY State Education Department's Summer Feeding Program

Amount Loaned: \$4,229.69 Date of Loan: 7-12-76

The Boys' Choir of Harlem offers instruction and performance experience in choral singing to talented youngsters in the Harlem community. In conjunction with its musical activities, the Boys' Choir operates a summer feeding program for approximately 200 children. Like a program administered by another loan recipient, the St. Benedict's Day Nursery, the Boys' Choir Program is part of the much criticized federal Summer Feeding Program. As a result of processing confusions in Albany, the Boys' Choir (like St. Benedict's) needed a loan to meet expenses incurred operating its summer feeding program.

Loan Recipient

Project Green Hope: Services for Women
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 7-14-76

The Fund's May 1976 loan to Project Green Hope, a multi-service facility for women ex-offenders, was repaid in June 1976. A second loan was made in July to enable Green Hope to meet program expenses.

Loan Recipient

Frederick Douglass Creative Arts Center
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$7,500 Date of Loan: 7-19-76

The Frederick Douglass Creative Arts Center provides a variety of arts services to urban residents, including writing workshops, monthly poetry readings, and a Showcase Theatre season of four plays. These activities are centered predominantly in Harlem, the South Bronx, Brownsville, and other poor Black and Puerto Rican neighborhoods. Due to delays in contract processing, the Center needed a loan to meet operating expenses.

Loan Recipient

St. Benedict's Day Nursery
Government Contracting Agency
NY State Education Department's Summer Feeding Program

Amount Loaned: \$4,000 Date of Loan: 7-30-76

St. Benedict's Day Nursery operates a camp on Staten Island for approximately 70 children. As of July, 1976 the camp had been approved as a summer food service program under the Federal Summer Feeding Program, but did not expect payment from the State Education Department until the end of August. St. Benedict's was new to the program, and had not been correctly informed as to how to process its claims. Due to these problems, St. Benedict's needed a loan to cover costs of administering the feeding program at Camp St. Edward.

Loan Recipient

Arts for Racial Identity
Government Contracting Agency
NYC Department of Cultural Affairs

Amount Loaned: \$2,500 Date of Loan: 8-9-76

Arts for Racial Identity, Inc., is a group of actors and former teachers who perform in public schools and colleges. The group uses dramatization to teach academic skills such as the difference between "street" language and "establishment" English. Due to contract processing delays at the New York City Department of Cultural Affairs, Arts for Racial Identity needed a loan to cover the costs of performance in various boroughs.

Loan Recipient
New York Street Theatre Caravan
Government Contracting Agency
NYC Department of Cultural Affairs

Amount Loaned: \$5,000 Date of Loan: 8-19-76

The New York Street Theatre Caravan is a theatre company devoted to bringing high-quality theatrical performances to non-traditional audiences. The company tours the U.S. every summer and has performed before audiences including the United Farm Workers Union, United Auto Workers, and the United Steel Workers. Due to delays in contract processing, the Caravan needed a loan to cover the cost of performances in New York City parks.

Loan Recipient
Harlem Cultural Council
Government Contracting Agency
NYC Department of Cultural Affairs

Amount Loaned: \$10,000 Date of Loan: 8-19-76

The Harlem Cultural Council sponsors a variety of cultural programs designed to promote community development in Harlem and strengthen black identity. Among its most successful efforts is the Dancemobile—a year-round resident dance company which performs works by black choreographers in the streets during the summer. Due to contract processing delays, the Council needed a loan to meet expenses associated with the Dancemobile program.

Loan Recipient
Brooklyn Philharmonia
Government Contracting Agency
NYC Department of Cultural Affairs

Amount Loaned: \$5,000 Date of Loan: 9-13-76

The Brooklyn Philharmonia is a major metropolitan orchestra offering programs of traditional and contemporary classical music. In addition to its regular season at the Brooklyn Academy of Music, the Philharmonia presents summer concerts in the parks of Brooklyn and other boroughs. As a result of delays in contract processing, the Brooklyn Philharmonia needed a loan to cover expenses associated with its summer and fall programs.

Loan Recipient
Cultural Council Foundation
Government Contracting Agency
NYC Department of Cultural Affairs

Amount Loaned: \$10,000 Date of Loan: 9-16-76

The Cultural Council Foundation (CCF) provides fiscal and administrative services to over 100 New York City arts organizations. Because the Department of Cultural Affairs was in the process of reorganizing, CCF agreed to administer a portion of the city's arts-related summer program on behalf of the Department. This enabled the Department to pay a lump sum to CCF rather than schedule and pay the performing groups directly. The arts groups completed their performances, but CCF had not received its funding from the Department because the contract was still being processed by the New York City Comptroller's office. In order to enable CCF to pay some of the performers, the Fund made it an emergency loan.

Loan Recipient
Citizens' Inquiry on Parole and Criminal Justice
Government Contracting Agency
NY State Department of Correctional Services

Amount Loaned: \$10,000 Date of Loan: 10-1-76

The Citizens' Inquiry on Parole and Criminal Justice attempts to protect the rights of convicts to fair and equitable parole decisions through a program of education and research. Due to contract processing delays, the organization needed a loan for expenses of its parole planning and information services program. A loan for a different project was made in April 1976, against a New York City Criminal Justice Coordinating Council contract.

Loan Recipient
Manna House Workshops
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$3,000 Date of Loan: 10-7-76

Manna House Workshops provides instruction in music, dance, and dramatics to minority youngsters. The organization serves the community of East Harlem, attempting to combat social problems through opportunities for creative expression. Due to delays in contract processing, Manna House needed a loan to enable it to meet salary and administrative expenses.

Loan Recipient
Black Theatre Alliance
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$8,500 Date of Loan: 10-15-76

The Alliance is a national service organization composed of 60 black theatre and dance companies, 48 of which are based in New York. The Alliance strives to uphold a standard of excellence for black theatre and dance, works to develop new and increased audiences for its constituency, and serves as a central source of information on all aspects of black theatre and dance. Due to contract processing delays, the Alliance needed a loan to meet the general administrative costs of its technical theatre training program.

Loan Recipient
Association of Hispanic Arts (through the Cultural Council Foundation)
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$5,000 Date of Loan: 10-18-76

The Association of Hispanic Arts, a network of arts organizations, disseminates information, promotes audience development, and provides program planning for its members. The organization publishes a bi-monthly newsletter, including a calendar of Hispanic arts events. Due to contract processing delays, the Association needed a loan for general expenses.

Loan Recipient
Association of Neighborhood Housing Developers
Government Contracting Agency
NYC Department of Employment's CETA Program

Amount Loaned: \$10,000 Date of Loan: 10-22-76

In October 1976, the Fund made an emergency loan of \$10,000 to the Association of Neighborhood Housing Developers. The loan enabled this organization to meet payroll expenses in connection with its Sweat Equity Construction and Job Training program. Three previous loans were made against the Association's contracts.

Loan Recipient
Project Green Hope
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 10-28-76

Project Green Hope, which operates a residence in the South Bronx for women ex-offenders recently released from correctional institutions, provides educational and counseling services. As in the cases of two previous loans to Green Hope, this loan enabled the Project to meet operating expenses.

Loan Recipient
Dance Visions
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$5,000 Date of Loan: 11-2-76

Dance Visions, Inc., provides programs and instruction in dance for the Harlem community. Its activities include community workshops in dance, community performances for school children, and national touring residencies. Due to contract processing delays, Dance Visions needed a loan to meet operating expenses.

Loan Recipient
Volunteer Lawyers for the Arts
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$6,000 Date of Loan: 11-8-76

Volunteer Lawyers for the Arts was founded in 1969 to arrange for free legal representation and to provide comprehensive legal education to New York's arts community. Due to contract processing delays, the organization needed a loan to meet payroll expenses.

Loan Recipient
Offender Aid and Restoration
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 11-15-76

Offender Aid and Restoration recruits and trains volunteers to counsel incarcerated adolescent offenders on a one-to-one basis and to serve as a bridge between the offender and his or her family, school or employer, and lawyer. Due to contract processing delays, the organization needed a loan to finance government-sponsored program expansion.

Loan Recipient

Rod Rogers Dance Company

Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$4,000 Date of Loan: 11-17-76

The Rod Rogers Dance Company is a widely recognized professional company which performs and teaches extensively in New York. The company had produced a series of community performances for over ten years, including concerts at "Union Center Outdoors," New York City parks, and community playgrounds. Due to delays in contract processing, Rod Rogers needed a loan to meet the expenses of its series of four performances at the Roundabout Theatre.

Loan Recipient

East Harlem Halfway House

Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$7,500 Date of Loan: 11-18-76

The East Harlem Halfway House, which operates a residential program for approximately 60 men released from New York State Correctional Institutions, offers personal and employment counseling and limited financial assistance. Services are also provided to ex-offenders on a non-residential basis. As in the past, due to contract processing delays, East Harlem needed a loan to cover operating expenses.

Loan Recipient

Brooklyn Arts and Culture Association

Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$5,000 Date of Loan: 11-18-76

The Brooklyn Arts and Culture Association promotes artists and cultural organizations in Brooklyn, presents a series of visual and performing arts programs for young artists, and organizes other special events, such as a series of poetry readings at the Brooklyn Museum. Due to contract processing delays, the Association needed a loan for the administrative expenses of its promotional programs.

Loan Recipient

Puerto Rican Association for Community Affairs

Contracting Agency
Greater New York Fund

Amount Loaned: \$3,505 Date of Loan: 11-22-76

The Puerto Rican Association for Community Affairs acts as an advocate for the Puerto Rican community by promoting social change and improvement in the quality of life, by developing leadership capabilities in young Puerto Ricans, and by advocating an awareness of the needs of the Puerto Rican community. Due to grant processing delays, the Association needed a loan to continue a research and development program for child welfare services in the Puerto Rican Community.

Loan Recipient

Adopt-A-Building

Government Contracting Agency
NYC Department of Employment's CETA Program

Amount Loaned: \$8,250 Date of Loan: 12-15-76

Adopt-A-Building is a community-based housing organization providing services to tenants and housing groups on Manhattan's Lower East Side. One project, funded through a CETA contract, involved training people to perform building maintenance and seal-up (masonry) tasks. Due to delays in reimbursements, Adopt-A-Building needed a loan to pay the trainees.

Loan Recipient

Advocates for Children

Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 12-20-76

Advocates for Children of New York (ACNY) combines direct social services and issue-advocacy functions in a comprehensive program focusing on the problems of emotionally and socially handicapped youngsters. Due to contract processing delays, Advocates for Children needed a loan for expenses incurred by a project to reduce juvenile delinquency. ACNY also received a loan in April 1976 against a New York City Board of Education contract.

Loan Recipient
Cultural Council Foundation
Government Contracting Agency
NYC Department for the Aging

Amount Loaned: \$10,000 Date of Loan: 1-25-77

From March 1976 to March 1977, the Cultural Council Foundation employed elderly persons in museums and gardens around the city. The workers were employed directly by the Cultural Council foundation, which advanced its own funds to meet the payroll and was then reimbursed by the city. Due to lengthy delays in reimbursements, the Foundation needed a loan to meet its payroll expenses. The Foundation also received a loan in September 1976 against a New York City Department of Cultural Affairs contract.

Loan Recipient
Independence House
Government Contracting Agency
New York Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 1-25-77

Independence House is a voluntary residence program for young men who have had some contact with the criminal justice system. It provides 24-hour supervision, room and board, daily counseling, job and school placement, education, recreation, and some health services. Due to contract processing delays Independence House needed a loan to cover project costs.

Loan Recipient
Spanish Theatre Repertory Company
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$10,000 Date of Loan: 2-4-77

The Spanish Theatre Repertory Company has provided professional theatrical productions in Spanish to New York's Hispanic population since 1969. The company produces plays, provides workshop classes, and presents performances on tour throughout New York State and within the city. Due to contract processing delays, the company needed a loan to cover performance costs.

Loan Recipient
Amigos Del Museo Del Barrio
Government Contracting Agency
NYC Department of Cultural Affairs

Amount Loaned: \$3,800 Date of Loan: 2-4-77

El Museo Del Barrio is a museum devoted to the culture and heritage of Puerto Rico, providing exhibits, workshops and a variety of programs for children and adults. While funds had been committed by the National Endowment for the Arts, the New York State Council on the Arts, the Rockefeller Brothers Fund, and the city, delays in payment from each source forced Amigos Del Museo Del Barrio to seek a loan to meet its payroll.

Loan Recipient
New York Street Theatre Caravan
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$5,000 Date of Loan: 2-4-77

The New York Street Theatre Caravan, a Fund loan recipient in August 1976, brings theatrical performances to unconventional audiences such as migrant workers, prisoners, labor unions, and ghetto residents. Due to misplacement of contract forms in Albany, the Caravan needed a loan to meet operating expenses.

Loan Recipient
The Print Center (through the Cultural Council Foundation)
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$5,000 Date of Loan: 2-11-77

The Print Center provides low-cost printing services to non-commercial publishers, producing about 150 books a year, including literary works and works on dance, film, and theatre. Due to contract processing delays, the Center needed a loan to cover operating expenses.

Loan Recipient
Co-op City Multi-Service Center for Senior Citizens (through the Committee to Save Public Housing)
Government Contracting Agency
NYC Department for the Aging

Amount Loaned: \$3,000 Date of Loan: 2-16-77

The Co-op City Multi-Service Center for Senior Citizens, sponsored by the Senior Citizens Coordinating Council of Riverbay, provides services to senior citizens in Co-op City such as refer-

ral, counseling, recreation, and home visits. Due to delays in payment of funds awarded to the Center under Title III of the Older American Act, a loan was needed for operating expenses.

Loan Recipient

Brooklyn Heights Music Society
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$1,000 Date of Loan: 2-17-77

The Brooklyn Heights Music Society presents orchestral, dance, and opera productions. Due to contract processing delays, the Society needed a loan to meet concert expenses.

Loan Recipient

The Drawing Center (through the Cultural Council Foundation)
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$5,673 Date of Loan: 2-18-77

The Drawing Center opened in January 1977 to provide space for the exhibition and study of contemporary drawing. Due to contract processing delays, the Center needed a loan to cover the costs of its exhibition of the works of Antonio Gaudi.

Loan Recipient

People's Development Corporation
Government Contracting Agency
US Department of Housing and Urban Development

Amount Loaned: \$6,000 Date of Loan: 3-8-77

People's Development Corporation (PDC) provides low-cost cooperative housing and economic redevelopment through self-help efforts in the South Bronx. PDC's first project involved rehabilitating a 28-family tenement. Due to contract processing delays, the Corporation needed a loan to cover the costs of the solar-energy, hot-water heating system installed in this building.

Loan Recipient

Children's Film Theatre (through the Cultural Council Foundation)
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$3,000 Date of Loan: 3-14-77

Children's Film Theatre is a project of the Media Center for Children, an arts research organization to improve media programs for children. Due to contract processing delays, the Children's Film Theatre needed a loan to cover payroll and operating expenses.

Loan Recipient

Greater Jamaica Development Corporation
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$10,000 Date of Loan: 3-15-77

For several years, Greater Jamaica Development Corporation has planned to implement a Regional Plan Association report which calls for the establishment of Jamaica as one of a number of regional subcenters in New York. As part of its concern for the revitalization of Jamaica, Queens, the Corporation administers an arts program at the Jamaica Arts Center. As in April 1976, due to contract processing delays, the Corporation needed a loan to meet the expenses of this program.

Loan Recipient

Rheedlen Foundation Inc.
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 4-12-77

The Rheedlen Foundation focuses on the problem of chronic truancy among the very young. The Foundation's program for persons in need of supervision works with selected truants in School District 3 on Manhattan's Upper West Side. Due to contract processing delays, Rheedlen needed a loan to meet expenses.

Loan Recipient

Adopt-A-Building
Government Contracting Agency
NYC Department of Employment's CETA Program

Amount Loaned: \$10,000 Date of Loan: 4-13-77

Adopt-A-Building is a housing organization providing services to tenants and housing groups on Manhattan's Lower East Side. As in the past, because of reimbursement delays, Adopt-A-

Building needed a loan to meet the expenses of a job training program administered under a CETA contract.

Loan Recipient
The Family
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$5,000 Date of Loan: 4-18-77

The Family is an organization of ex-inmates of correctional facilities. It operates ten Mobile Drama Workshops throughout New York City. Due to contract processing delays, the Family needed a loan for staff and travel expenses.

Loan Recipient
Amigos Del Museo Del Barrio
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$2,000 Date of Loan: 4-18-77

El Museo Del Barrio operates a program of public readings and a writers-in-residence program for Puerto Rican writers, poets, and novelists to discuss their works. Due to contract processing delays, as in the case of an earlier loan, Amigos Del Museo Del Barrio needed a loan for their programs. The organization also received a loan in February 1977 against a New York City Department of Cultural Affairs grant.

Loan Recipient
Citizens' Inquiry on Parole and Criminal Justice
Government Contracting Agency
NY State Department of Corrections

Amount Loaned: \$10,000 Date of Loan: 4-18-77

The Citizens' Inquiry on Parole and Criminal Justice conducts parole education classes at selected correctional facilities. As in October 1976, contract payment delays led the organization to seek a loan to meet the expenses of this educational program.

Loan Recipient
New York Committee for Young Audiences
Government Contracting Agency
NYC Board of Education

Amount Loaned: \$5,000 Date of Loan: 4-27-77

New York Committee for Young Audiences brings performing artists into the public schools. In 1977 it contracted with the New York City Board of Education to provide 360 such programs. As in 1976, due to reimbursement delays, the committee needed a loan to cover the cost of its May school performances.

Loan Recipient
Puerto Rican Dance Theatre
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$3,000 Date of Loan: 5-5-77

The Puerto Rican Dance Theatre provides instruction in ballet, modern, primitive, and flamenco dance to young people in New York's Hispanic community. Due to contract processing delays, the Dance Theatre needed a loan to meet payroll expenses.

Loan Recipient
United Harlem Growth (through the Urban Homesteading Assistance Board)
Government Contracting Agency
NYC Housing and Development Administration

Amount Loaned: \$10,000 Date of Loan: 5-18-77

United Harlem Growth is a community development and construction corporation currently involved in the rehabilitation of five brownstone structures in Central Harlem. This loan for construction expenses was made pending receipt by United Harlem Growth of Section 312 mortgage funds. As a result of more severe cash flow problems than originally expected, the Fund has accepted assignment on the portion of the mortgage retained by HDA. Construction will be completed shortly, and as soon as the buildings receive their certificates of occupancy the Fund will be fully repaid.

Loan Recipient
NYC Board of Correction
Government Contracting Agency
NY State Commission of Correction

Amount Loaned: \$8,805 Date of Loan: 5-31-77

Under the new City Charter, the Board of Correction is charged with developing minimum standards for the care, custody, treatment, supervision and discipline of persons confined under the jurisdiction of the Department of Corrections. To carry out this mandate, the Board has received federal funding through the New York State Commission of Correction. Due to repeated contract processing delays in Albany, the Board needed a loan to enable it to continue its work in this area.

Loan Recipient

The Urban Corps (through the NYC Voluntary Action Corporation)

Amount Loaned: \$5,000

Date of Loan: 6-6-77

The New York City Urban Corps administers one of the nation's largest public service internship programs for university students in municipal government. Its student advance fund provides short-term cash assistance to students in the program when their checks are delayed in processing between the federal government, the various colleges and universities, and New York City. As in the past, due to a large number of such processing delays, the Urban Corps needed a loan for its student advance fund.

Loan Recipient

Bronx Frontier Development Corporation

Government Contracting Agency

NY State Parks and Recreation Commission

Amount Loaned: \$5,000

Date of Loan: 6-7-77

The Bronx Frontier Development Corporation is working toward the physical and economic redevelopment of the South Bronx by using new, alternative technologies. One example is the "Chuck Wagon"—a converted Bookmobile, now equipped with a kitchen—that gives demonstrations on how to grow vegetables and provides information on menu planning and nutrition. Due to payment delays, Bronx Frontier needed a loan to meet Chuck Wagon's expenses.

Loan Recipient

Landmarks Preservation Commission

Government Contracting Agency

National Endowment for the Humanities

Amount Loaned: \$7,500

Date of Loan: 6-22-77

Among its many activities, the Landmarks Preservation Commission catalogs and preserves microfilms and exhibits architectural plans and drawings of New York City's historic buildings. Due to grant payment delays, the Commission needed a loan to cover costs related to this project.

Loan Recipient

Home Advisory and Service Council of New York

Government Contracting Agency

NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000

Date of Loan: 7-6-77

The Home Advisory and Service council of New York provides services designed to help families with problems and prevent further family breakdown. Clients are referred from the New

York Family Court. Due to contract processing delays, the Council needed a loan for its counseling program.

Loan Recipient

Poets and Writers, Inc.

Government Contracting Agency

NY State Council on the Arts

Amount Loaned: \$10,000

Date of Loan: 8-4-77

Poets and Writers, Inc., is an information clearinghouse for and about poets and fiction writers working in the United States. It administers a grants program which supplements writers' fees for readings, and conducts workshops at non-profit organizations throughout New York state. Due to contract processing delays, Poets and Writers needed a loan for its grant program.

Loan Recipient

Brooklyn Association of Settlement Houses

Government Contracting Agency

NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000

Date of Loan: 8-4-77

The Brooklyn Association of Settlement Houses conducts a Multi-Service program in Ocean Hill and Brownsville. The program offers individual, group and family counseling, educational services, and indoor and outdoor recreational activities to about 300 youngsters between the ages of 10 and 21 who have been involved with the criminal justice system. Due to contract processing delays, the Association needed a loan to cover staff salaries.

Loan Recipient

Project Green Hope

Government Contracting Agency

NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000

Date of Loan: 8-4-77

Project Green Hope, a residential facility serving ex-offender women, provides counseling on employment placement, job training, and child care techniques to approximately 100 women. As in previous cases, as a result of contract processing delays, Green Hope needed a loan for its two-week payroll, rent, and utility expenses.

Loan Recipient
Sisters of the Good Shepherd Residences
Government Contracting Agency
NYC Youth Board

Amount Loaned: \$10,000 Date of Loan: 8-4-77

The Sisters of the Good Shepherd Residences operate five residential programs, four community-based non-residential programs, and a training institute for needy and troubled children and families. Due to contract processing delays, the Sisters needed a loan to enable them to continue the operation of their Children and Youth Development Services program, which is based in the Park Slope section of Brooklyn.

Loan Recipient
Richard Morse Mime Theatre
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$7,390 Date of Loan: 8-5-77

The Richard Morse Mime Theatre is one of the few groups in the country that performs mime professionally. Due to grant processing delays, the Mime Theatre needed a loan for rehearsal expenses related to a new production.

Loan Recipient
Rod Rogers Dance Company
Government Contracting Agency
NYC Department of Cultural Affairs

Amount Loaned: \$950 Date of Loan: 8-5-77

The Rod Rogers Dance Company is a widely recognized professional troupe which performs and teaches extensively in New York and presents a summer-fall concert series. As in the past, due to contract processing delays, the Company needed a loan to cover rehearsal expenses for the concert series.

Loan Recipient
Morris Heights Neighborhood Improvement Association
Government Contracting Agency
NYC Housing and Development Administration

Amount Loaned: \$7,500 Date of Loan: 9-12-77

The Morris Heights Neighborhood Improvement Association works directly with tenants associations, block associations, and other neighborhood groups on housing improvement and community development projects. Due to reimbursement delays, the Association needed a loan for its demonstration project to save deteriorating housing in the West Bronx.

Loan Recipient
Association of Neighborhood Housing Developers
Government Contracting Agency
NYC Department of Employment's CETA Program

Amount Loaned: \$10,000 Date of Loan: 9-13-77

The Association of Neighborhood Housing Developers conducts a Sweat Equity Construction and Maintenance Job Training Adult Work Experience Project, funded under New York City's CETA Title I Program. Although Board of Estimate approval had not yet been secured, the project began operation under an agreement with the Department of Employment. As a result of procedural delays with the Board of Estimate, the Association needed a loan to meet project expenses.

Loan Recipient
Congress of Italian-American Organizations
Government Contracting Agency
Federal Community Service Administration

Amount Loaned: \$10,000 Date of Loan: 9-22-77

The Congress of Italian-American Organizations (CIAO) initiates and sponsors social service programs in Italian-American communities throughout New York City, and has a number of store front operations throughout the city. Due to contract processing delays, CIAO needed a loan to meet operating expenses.

Loan Recipient
The Wooster Group
Government Contracting Agency
National Endowment for the Humanities

Amount Loaned: \$6,500 Date of Loan: 9-22-77

The Wooster Group is a company of actors which, in addition to performing, conducts workshops in drama and acting. Due to grant processing delays, the Group needed a loan for expenses related to its new production of *Oedipus*.

Loan Recipient
Clark Center for the Performing Arts
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$4,000 Date of Loan: 9-27-77

The Clark Center for the Performing Arts, Inc., provides programs for dancers at all levels of proficiency. The Center conducts classes, sponsors performances, and provides studio space for rehearsals and workshops. Due to grant processing delays, the Clark Center needed a loan to cover operating expenses.

Loan Recipient

Adopt-A-Building

Government Contracting Agency

NYC Department of Employment's CETA Program

Amount Loaned: \$4,073.21 Date of Loan: 9-26-77

Adopt-A-Building performs services for tenants and housing groups on Manhattan's Lower East Side. As in the case of earlier loans, Adopt-A-Building needed a loan for costs associated with its CETA job training program.

Loan Recipient

Off Center Theatre

Government Contracting Agency

National Endowment for the Arts

Amount Loaned: \$4,500 Date of Loan: 10-12-77

The Off Center Theatre is a performing company which also sponsors workshops in street theatre for neighborhood youths, poetry workshops and readings, performances in youth institutions, and radio programming. As a result of grant processing delays, the Off Center Theatre needed a loan for general program expenses.

Loan Recipient

The Eleventh Street Movement

Government Contracting Agency

NYC Housing and Development Administration

Amount Loaned: \$10,000 Date of Loan: 10-12-77

The Eleventh Street Movement is an organization made up of community residents committed to the preservation and revitalization of a "model block" on the Lower East Side. Originally this loan was made to help Eleventh Street meet construction costs at 507-509 East 11th Street which could not be met because of routine contract payment delays. However, because of unexpected construction problems (a wall fell) and a lengthy process to re-negotiate (increase) the mortgage, greater processing delays than had originally been expected resulted. The Fund expects full repayment shortly.

Loan Recipient

Offender Aid and Restoration of New York City

Government Contracting Agency

NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 10-12-77

Offender Aid and Restoration (OAR) is a community organization developed to recruit volunteers to work as "one-to-one" counselors with inmates of New York City jails. As in Novem-

ber 1976, contract processing delays led OAR to apply for a loan to cover program costs.

Loan Recipient

Education, Arts, and Services (through the Cultural Council Foundation)

Government Contracting Agency

National Endowment for the Arts

Amount Loaned: \$5,000 Date of Loan: 10-14-77

"The Tenth Street Days," sponsored by Education, Art, and Services, was a historical survey of paintings, sculpture, and documentation from artist-initiated and artist-run establishments which existed on Tenth Street and its environs during the 1950s. Due to grant payment delays, Education, Art, and Services needed a loan for costs related to this project.

Loan Recipient

Advocates for Children

Government Contracting Agency

NYC Youth Board

Amount Loaned: \$10,000 Date of Loan: 10-27-77

Advocates for Children is working to improve educational and child-related services for New York City children with special emotional needs. As in the past, due to contract processing delays, Advocates for Children needed a loan to cover project costs for its program of services to children.

Loan Recipient

Abused Women's Aid in Crisis

Government Contracting Agency

NYC Human Resources Administration

Amount Loaned: \$8,660 Date of Loan: 10-31-77

Abused Women's Aid in Crisis (AWAIC), provides a wide range of services to battered women and their children. AWAIC conducted training sessions for personnel connected with the Henry Street / HRA pilot shelter program for abused women and the HRA city-wide shelter program. Due to contract processing delays, AWAIC needed a loan for training session expenses.

Loan Recipient
Forest Hills Community House
Government Contracting Agency
NYC Youth Board

Amount Loaned: \$10,000 Date of Loan: 11-15-77

The Forest Hills Community House works for the stability and preservation of the Forest Hills-Rego Park neighborhood, which was torn apart by conflict several years ago. It provides constructive leadership and community programs to help bring people together. Due to contract processing delays, Community House needed a loan to support its youth program.

Loan Recipient
Black Theatre Alliance
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$10,000 Date of Loan: 11-16-77

The Black Theatre Alliance is a national service organization composed of 60 black theater and dance companies, 48 of which are based in New York. The Alliance is involved in audience development, fund-raising, and information dissemination on behalf of the constituent organizations. As in the past, due to contract processing delays, the Alliance needed a loan to cover general program expenses.

Loan Recipient
Grooving in the Ghetto
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$3,500 Date of Loan: 11-22-77

Grooving in the Ghetto provides comprehensive educational and supportive services to inner city youngsters through a program of workshops aimed at recruiting and training youth for jobs in the fields of performing, technical, and applied arts. Due to contract processing delays, GIG needed a loan to support this workshop program.

Loan Recipient
Richmond Home Needs Services
Government Contracting Agency
NY State Department of Mental Hygiene

Amount Loaned: \$7,500 Date of Loan: 11-29-77

Richmond Home Needs Service is a voluntary, non-profit, home care organization which acts as the principal provider of homemaker and home health aide services for the borough of

Staten Island. Due to reimbursement delays, Home Needs Service needed a loan to meet its payroll.

Loan Recipient
Association of Hispanic Arts (through the Cultural Council Foundation)
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$9,214.04 Date of Loan: 11-29-77

The Association of Hispanic Arts, Inc., a network of Hispanic arts organizations, operates arts workshops and publishes a newsletter containing information for and about Hispanic arts organizations. As in October 1976, due to processing delays, the Association needed a loan to meet general operating expenses.

Loan Recipient
Bronx River Restoration Project
Government Contracting Agency
NY State Office of Parks and Recreation

Amount Loaned: \$10,000 Date of Loan: 12-2-77

The Bronx River Restoration Project is developing a master plan for creating parkland on both sides of the lower end of the river, as was done for the Westchester County section in the 1920s. Due to contract processing delays, Bronx River needed a loan to cover expenses related to this project.

Loan Recipient
Spanish Theatre Repertory, Ltd.
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$7,300 Date of Loan: 12-6-77

The Spanish Theatre Repertory Company presents public performances of Spanish language productions in New York City and throughout the State, conducts workshops in the theatrical arts, and presents concerts and special events involving dance and poetry readings. As a result of contract processing delays, Spanish Theatre Repertory needed a loan to cover operating expenses.

Loan Recipient

Greenpoint Human Services—People for People
Government Contracting Agency
NYC Youth Board

Amount Loaned: \$10,000 Date of Loan: 12-12-77

Greenpoint Human Services provides a wide range of services to the unemployed and underemployed of the Greenpoint-Williamsburg area of Brooklyn, including counseling and referral services for jobs and housing, tutorial services for non-English speaking residents, and escort services for the elderly. As a result of contract processing delays, Greenpoint needed a loan to support its work with young people.

Loan Recipient

Rockaway Youth Coalition (through the Jamaica Bay Council)
Government Contracting Agency
NYC Youth Board

Amount Loaned: \$10,000 Date of Loan: 12-12-77

Rockaway Youth Coalition was formed to facilitate communication between community groups that serve youth in order to build a more coordinated approach to serving youth that would eliminate duplication of services. It consists of six organizations that provide a comprehensive range of services to youth in the Rockaway Peninsula. Due to contract processing delays, the Coalition needed a loan to meet program expenses.

Loan Recipient

Queens Council on the Arts
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$5,000 Date of Loan: 12-20-77

The Queens Council provides financial, promotional, technical, and administrative services to artists, performers, and cultural groups of Queens County. Due to contract processing delays in Albany, the Council needed a loan to meet the expenses of its administrative services program.

Loan Recipient

DeWitt Elementary School

Amount Loaned: \$3,000 Date of Loan: 12-22-77

The DeWitt Elementary School, located at 150 First Avenue, is a non-profit, non-sectarian, alternative school serving the children of low-income to low-middle-income families on the Lower East Side. The school has experienced cash flow problems and a general lack of funding, including cancellation of a

promised grant. A loan to cover staff salaries, originally made against tuition payments due from parents, will be repaid in installments.

Loan Recipient

Clark Center for the Performing Arts
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$6,500 Date of Loan: 12-23-77

The Clark Center provides programs for dancers at all levels of proficiency. As in the case of a September 1977 loan, the Center had problems meeting general program expenses because of contract processing delays.

Loan Recipient

Hospital Audiences
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 12-30-77

Hospital Audiences, a former Fund grantee, provides cultural services to a variety of residents in New York City institutions, including hospitals, nursing homes, and prisons. As a result of contract processing delays, Hospital Audiences needed a loan to support its correctional facilities program.

Loan Recipient

Community Day Care Action Coalition
Government Contracting Agency
NY State Department of Social Services

Amount Loaned: \$10,000 Date of Loan: 1-10-78

The Day Care Action Coalition consists of 20 day care centers whose city funds were cut off over a year ago. These centers organized themselves into a legal, tax-exempt corporation, and succeeded in winning state aid for their program. The state agreed to advance funds to the Coalition for the renovations necessary to meet state licensing standards. However, payment delays led the Coalition to seek a loan to cover these renovation costs.

Loan Recipient
Basement Workshop
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$7,500 Date of Loan: 1-18-78

Basement Workshop is a cultural and educational organization located in Chinatown which conducts year-round arts and education programs under the direction of Asian-American artists, and provides a program of performances and outdoor festivals for the local Asian community. Due to contract processing delays in Albany, the Workshop needed a loan to operate its instructional programs.

Loan Recipient
Foundation for the Community of Artists
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$5,000 Date of Loan: 1-25-78

The Foundation for the Community of Artists is a cultural organization dedicated to helping professional artists. For example, it has helped find jobs and programs to support artists which allow them sufficient flexibility to pursue their work. One approach pursued by the Foundation was to use CETA funds to hire artists to work for non-profit organizations. Due to contract processing delays, the Foundation needed a loan to cover expenses connected with this project.

Loan Recipient
Volunteer Lawyers for the Arts
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$1,800 Date of Loan: 1-25-78

Volunteer Lawyers for the Arts was founded in 1969 to arrange for free legal representation of artists by volunteer attorneys and to provide legal education to the arts community. As a result of contract processing delays, Volunteer Lawyers needed a loan for expenses related to publication of a new edition of *Fear of Filing: A Beginner's Handbook of Recordkeeping and Federal Taxes for Dancers, Other Performers, Writers and Visual Artists*. Volunteer Lawyers also received a loan in November 1976 against a State Council contract.

Loan Recipient
Black Spectrum Theater
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$5,000 Date of Loan: 1-26-78

Black Spectrum Theater is an eight-year old multi-media theater company that operates a performance and workshop program for youths and adults in Southeast Queens. In addition, Black Spectrum conducts a professional theater performance program whose aim is to present plays by known and unknown playwrights. Due to grant payment delays, Black Spectrum needed funds to support its professional theater performance program.

Loan Recipient
Dance Visions
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$1,800 Date of Loan: 1-27-78

Dance Visions' purpose is to perpetuate a sound financial and administrative base for the Sounds in Motion Dance Company and to provide the Harlem community with performances of and training in dance. As a result of contract processing delays in Albany, Dance Visions needed a loan to meet operating costs and salary expenses. Dance Visions previously received a loan in July 1976 against a National Endowment for the Arts grant.

Loan Recipient
The Emergency Shelter
Government Contracting Agency
NYC Youth Board

Amount Loaned: \$6,000 Date of Loan: 1-30-78

The Emergency Shelter provides assistance to young men aged 16 to 20 who are without parental guidance and who are in need of housing, food, and counseling. The Shelter's primary objectives are to extend emergency services to homeless youths and to help them become self-supporting members of the community. As a result of contract processing delays, the Shelter needed a loan to cover general operating expenses.

Loan Recipient
Frederick Douglass Creative Arts Center
Contracting Agency
Ford Foundation

Amount Loaned: \$3,750 Date of Loan: 2-1-78

The Frederick Douglass Creative Arts Center provides a variety of arts services including writing workshops, monthly poetry readings, and a Showcase Theater season which presents four plays each year. As a result of grant payment delays, the Center needed a loan to meet operating expenses for its Showcase presentations. The Center also received a loan in July 1976 against a National Endowment for the Arts grant.

Loan Recipient
Park Slope Project Reach Youth
Government Contracting Agency
NYC Youth Board

Amount Loaned: \$5,500 Date of Loan: 2-2-78

Project Reach Youth is an ecumenical, church-sponsored program which aims at increasing the opportunities of urban youth in Brooklyn. This is attempted in a number of ways including tutoring, group work and recreation, career exploration, and the operation of a summer program which serves over 250 youths each summer. As a result of contract processing delays, a loan was needed for operating expenses at the Project's creative learning center.

Loan Recipient
Mabou Mines Development Foundation (through the Performing Artservices)
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$3,000 Date of Loan: 2-2-78

Mabou Mines is an experimental theater company operated by the Mabou Mines Development Foundation and administered by Performing Artservices. The company has been in operation since 1972 and was completing an original work, "The Shaggy Dog Animation," when it received a loan from the Fund. This loan enabled Mabou Mines to continue work on the production while awaiting receipt of delayed contract funds.

Loan Recipient
The Lower Eastside Printshop
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$6,000 Date of Loan: 2-14-78

The Lower Eastside Printshop is a community-based graphic arts workshop which offers classes to children and adults. The organization also offers a workshop program for seniors, in collaboration with the New York State Department of Parks and Recreation, and a summer program for youth, which is partially funded by the Department of Cultural Affairs. Due to contract processing delays, the Printshop needed funds to operate its workshop program.

Loan Recipient
Rheedlen Foundation, Inc.
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 2-21-78

The Rheedlen Foundation was established in 1970 to attack the problem of chronic truancy among the very young. As in the case of an earlier loan, contract processing delays in Albany caused a cash flow problem for its court diversion program.

Loan Recipient
Media Center for Children (through the Cultural Council Foundation)
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$5,000 Date of Loan: 2-28-78

The Media Center for Children is an educational organization which works in the area of children's media. Its activities include evaluating short films for children, exhibiting children's films, and publishing a quarterly insert for *Sightlines Magazine* called "Young Viewers." As a result of contract processing delays, the Media Center needed a loan to meet the operating expenses of its Children's Film Showcase. The organization also received a March 1977 loan against a New York State Council on the Arts contract.

Loan Recipient
NYC Volunteers in Probation
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$10,000 Date of Loan: 3-1-78

Volunteers in Probation trains volunteers to work on a one-to-one basis with youngsters aged 7 to 19 who are involved in the criminal justice system. Delays in contract processing in Albany forced the group to seek a loan to meet operating expenses for this work.

Loan Recipient
Northside Center for Child Development
Government Contracting Agency
NYC Board of Education

Amount Loaned: \$10,000 Date of Loan: 3-3-78

The Northside Center is an inter-racial mental health center serving approximately 1,200 children and families in the Harlem-East Harlem communities. The services provided include individual, group, and family psychotherapy, psychological counseling, and a therapeutic reading clinic for remedial and tutorial help. This loan helped the Center cover operating expenses at its therapeutic day school.

Loan Recipient
The Family
Government Contracting Agency
NYC Criminal Justice Coordinating Council

Amount Loaned: \$5,000 Date of Loan: 3-10-78

The Family is an organization of ex-inmates that operates drama workshops throughout the city. As in the case of an earlier loan, the Family experienced a cash flow problem due to contract processing delays.

Loan Recipient
Afro-American Total Theater Arts Foundation
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$8,000 Date of Loan: 3-13-78

The Afro-American Total Theatre Arts Foundation stages original musicals and plays and conducts workshop programs for the development and training of professional playwrights, composers, and actors. The Foundation's Tanner Gallery presents exhibitions of the works of professional contemporary ar-

tists. Due to contract processing delays, the Foundation needed funds to cover expenses related to its theater productions and video project.

Loan Recipient
The Big Apple Circus
Government Contracting Agency
Federal Community Services Administration

Amount Loaned: \$10,000 Date of Loan: 3-17-78

The Big Apple Circus, a former Fund grantee, is the showcase performing unit of the New York School for Circus Arts. The circus aims to reach a broad audience, particularly disadvantaged youth and adults who ordinarily have little access to the live performing arts. Due to contract processing delays, the Big Apple Circus needed a loan for its School of Circus Arts.

Loan Recipient
Regional Emergency Medical Services Council of New York
Government Contracting Agency
NY State Department of Health

Amount Loaned: \$5,500 Date of Loan: 3-17-78

The Regional Emergency Medical Services Council was established in 1974 to work for improvements in the delivery of emergency medical services to the people of New York City. In addition to operating the New York City Burn Control Center, the Council surveyed the city's ambulance service performance under a \$20,000 contract with the New York State Department of Health. Due to reimbursement delays, funds were required to continue work on this survey.

Loan Recipient
Black Theatre Alliance
Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$8,000 Date of Loan: 3-20-78

The Alliance is a national service organization composed of 60 black theater and dance companies, 48 of which are based in New York. As in the case of an earlier loan, contract processing delays led the Alliance to seek funds to support its service programs.

Loan Recipient

Dance Theater Workshop

Government Contracting Agency
NY State Council on the Arts

Amount Loaned: \$6,000 Date of Loan: 3-21-78

Dance Theater Workshop provides artist sponsorship and technical and promotional services to the New York dance community. The Workshop operates the American Theater Laboratory, the only year-round dance theater in the United States, and has also developed a services program which is available, on a membership basis, to any and all dance artists performing throughout the greater New York area. The Fund's loan covered the administrative costs of the service program.

Loan Recipient

Prisoners' Legal Services of New York

Government Contracting Agency
NY State Division of Criminal Justice Services

Amount Loaned: \$10,000 Date of Loan: 3-24-78

Prisoners' Legal Services (PLS) was created in 1976 under the sponsorship of the New York State Bar Association to offer a comprehensive program of legal assistance to indigent prisoners in cases where no other counsel is available. This program provides the only effective means of resolving legal problems for most of the 19,000 inmates of New York State correctional facilities. Due to delays in payment of reimbursable expenses, PLS needed funds to meet its payroll expenses.

Loan Recipient

Sunset Park Redevelopment Committee

Government Contracting Agency
NYC Department of Housing Preservation and Development

Amount Loaned: \$10,000 Date of Loan: 4-10-78

Since 1975 the Sunset Park Redevelopment Committee (SPRC), which renovates abandoned housing in the Sunset Park area of Brooklyn, has completed and sold fifteen 2- and 3-family buildings formerly owned by HUD. Currently, SPRC is renovating 21 buildings under the City Department of Housing Preservation and Development's Small Homes Improvement Program. The Fund's loan was made to support the Committee's work under this program.

Loan Recipient

Private Concerns, Inc.

Government Contracting Agency
NYC Department of Employment's CETA Program

Amount Loaned: \$10,000 Date of Loan: 4-14-78

Private Concerns provides employment and training services to ex-offenders who are New York City residents. Between 60 and 70 public and private organizations regularly refer ex-offenders to Private Concerns, which places more than 50 of them in jobs each month. Between 55 and 60 percent of those placed retain their jobs for at least six weeks (the New York CETA job retention standard). The Fund's loan was made to meet reimbursable expenses connected with the organization's employment and training programs.

Loan Recipient

Hospital Audiences, Inc.

Government Contracting Agency
US Administration on Aging

Amount Loaned: \$5,000 Date of Loan: 4-21-78

Hospital Audiences, a former Fund grantee, provides cultural services to a variety of residents in New York City institutions, including hospitals, nursing homes, and prisons. As a result of contract processing delays, Hospital Audiences needed a loan for its work in New York nursing homes. Hospital Audiences had previously received several loans to help it through similar situations.

Loan Recipient

Citizens for Clean Air, Inc.

Government Contracting Agency
National Highway Traffic Safety Administration

Amount Loaned: \$10,000 Date of Loan: 4-24-78

Citizens for Clean Air (CCA) works to educate the public and to provide technical assistance to individuals and communities, in the areas of transportation, air pollution, and energy use. The National Highway Traffic Safety Administration contracted with CCA for a demonstration program to develop and test an advanced three-way catalyst emissions control system for automobiles. Due to payment processing delays, CCA needed a loan from the Fund to allow work to begin on the emissions control system.

Loan Recipient

Richmond Home Needs Services, Inc.

Contracting Agency

Visiting Nurse Association of Staten Island

Amount Loaned: \$6,818.97 Date of Loan: 4-28-78

Richmond Home Needs Services is a voluntary, non-profit, home care organization that acts as the principal provider of homemaker and home health aide services for the borough of Staten Island. As in the case of a previous loan, Richmond Home Needs needed a loan to meet payroll expenses.

Loan Recipient

Just Above Midtown, Inc.

Government Contracting Agency

National Endowment for the Arts

Amount Loaned: \$3,000 Date of Loan: 5-9-78

Just Above Midtown Gallery provides space for art exhibitions, runs seminars and training programs, and gives other professional assistance to new and emerging artists and to the general public. The Gallery gives special attention to the work of minority and women artists. Due to grant processing delays, Just Above Midtown needed a loan to help cover the expenses of its Exhibition Series and its Artists Education and Assistance Program.

Loan Recipient

Women's Interart Center, Inc.

Government Contracting Agency

NY State Council on the Arts

Amount Loaned: \$5,000 Date of Loan: 5-12-78

The Women's Interart Center was established to encourage the creation, performance, and display of art by women. In addition to providing facilities and instruction for women working in film, theater, and the video and visual arts, the Center presents gallery exhibitions and film, theater, music, and dance programs. Because of contract processing delays, the Interart Center needed a loan to cover the costs of two of its theater programs and a film workshop program.

Loan Recipient

Harlem Cultural Council, Inc.

Government Contracting Agency

NYC Department of Cultural Affairs

Amount Loaned: \$6,000 Date of Loan: 5-19-78

The Harlem Cultural Council sponsors a variety of cultural programs designed to promote community development in Harlem and to strengthen black identity. Among its most successful

efforts is the Dancemobile—a year-round resident dance company that performs works by black choreographers in the streets during the summer. Due to payment processing delays, the Council needed a loan to meet expenses associated with this program. Similar delays in August 1976 had led the Harlem Cultural Council to request a loan for the Dancemobile at that time also.

Loan Recipient

Advisory Services for Better Housing, Inc.

Government Contracting Agency

US Department of Housing and Urban Development

Amount Loaned: \$10,000 Date of Loan: 5-19-78

Advisory Services for Better Housing tests a comprehensive approach to alleviating problems of federally insured, multi-family housing. Under a contract with HUD, Advisory Services for Better Housing began work on a program to diagnose the problems of 15 distressed housing projects and to provide treatment and follow-up monitoring. Due to contract processing delays, a loan was needed to meet the initial payroll obligations of this program.

Loan Recipient

Lavaughn Robert Moore Day Care Center (through People United for Day Care Services)

Government Contracting Agency

NYC Agency for Child Development

Amount Loaned: \$10,000 Date of Loan: 5-30-78

The Lavaughn Robert Moore Day Care Center is a Brooklyn day care center sponsored by People United for Day Care Services. Due to an error in the Center's contract made by the New York City Agency for Child Development, the Center's funding ran out several months before the end of the contract. The loan allowed Lavaughn Robert Moore to pay salaries and taxes while this problem was being resolved.

Loan Recipient

Argus Community, Inc.

Government Contracting Agency

NYC Office of Special Services for Children and New York State Department of Social Services

Amount Loaned: \$10,000 Date of Loan: 5-31-78

At the time this loan was made, Argus Community operated the Learning for Living Center for troubled youngsters and a group home for girls in the Bronx. The loan enabled Argus to complete renovations on a second group home for girls, pending receipt

of rental income to cover the cost of the girls' housing from the New York State Department of Social Services and the New York City Office of Special Services for Children.

Loan Recipient

Haryou-Act, Inc.

Government Contracting Agency

NYC Department for the Aging

Amount Loaned: \$10,000 Date of Loan: 6-16-78

Haryou-Act is a non-profit community corporation serving the residents of central Harlem. In conjunction with its delegate agencies, it administers more than 30 programs in areas such as employment, manpower training, education, housing, and social services. Due to the city's policy of reimbursing expenditures only after they are made, Haryou-Act needed a loan to help cover the heavy expenses involved in setting up its Home Care Services Project.

Loan Recipient

The Peoples Housing Network (through the Association of Neighborhood Housing Developers)

Contracting Agency

Joint Foundation Support and the Scherman Foundation

Amount Loaned: \$3,000 Date of Loan: 6-20-78

The Peoples Housing Network, a state-wide organization based in New York City, is trying to build a strong housing movement through the state by fostering more and better local organizing efforts. Due to payment processing delays, Peoples Housing Network needed a loan to cover the costs of its staff and volunteer training and information dissemination programs.

Loan Recipient

Hospital Audiences, Inc.

Government Contracting Agency

NYC Department of Mental Health and Mental Retardation Services

Amount Loaned: \$10,000 Date of Loan: 6-22-78

Hospital Audiences, a former Fund grantee, provides cultural services to a variety of residents in New York City institutions, including hospitals, nursing homes and prisons. Payment processing delays, similar to those that necessitated two earlier loans to Hospital Audiences, led this organization to request a loan so that it could continue its work in New York City's mental health and mental retardation facilities.

Loan Recipient

Lower Manhattan Cultural Council, Inc.

Contracting Agencies

NYC Department of Cultural Affairs, Morgan and Chase Banks, American Express Corporation

Amount Loaned: \$8,000 Date of Loan: 6-29-78

The Lower Manhattan Cultural Council was founded by a group of arts, business, and civic leaders to coordinate and promote the cultural development of downtown lower Manhattan. In addition to sponsoring dance, music, literature, and visual arts programs, the group publishes a monthly calendar of events and provides an administrative advisory service for community arts groups. Due to delays in payment of funds supporting the area's Fourth of July festival, sponsored by the Council, a loan was needed to help meet festival expenses.

Loan Recipient

The Cultural Council Foundation

Government Contracting Agency

NYC Department for the Aging

Amount Loaned: \$10,000 Date of Loan: 6-30-78

The Cultural Council Foundation provides fiscal and administrative services to over 100 New York City arts organizations. Under a program funded by Department for the Aging, approximately 70 Foundation employees, 55 years of age or older, work at 15 museums and gardens around the city, as well as at the Foundation itself. Due to delays in reimbursement, similar to those suffered in January 1977 when a previous loan was made, the Foundation needed a loan to help meet payroll expenses for this program.

Loan Recipient

The Wooster Group, Inc.

Government Contracting Agency

National Endowment for the Arts

Amount Loaned: \$10,000 Date of Loan: 7-7-78

The Wooster Group is a company of actors which, in addition to performing, conducts workshops in drama and acting. As in September 1977 when the Group received its first loan, grant processing delays led the Wooster Group to request a loan to help it meet the expenses of its theater programs.

Loan Recipient

The Committee for the Visual Arts, Inc.
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$6,000 Date of Loan: 7-12-78

The Committee for the Visual Arts (CVA) serves New York City's visual arts community by administering a number of exhibition and service programs. Artists Space, the gallery program of CVA, schedules regular monthly exhibitions in its main galleries and sponsors project installations, performances, film screenings, and other events. CVA's Emergency Materials Fund and its Independent Exhibitions Program provide direct financial assistance to artists. Due to grant processing delays, CVA needed a loan to help cover the expenses of its Emergency Materials Fund and its Independent Exhibition Program.

Loan Recipient

The First Water (through the Cultural Council Foundation)
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$5,000 Date of Loan: 7-17-78

The First Water was formed to promote the production of classical works by black artists of African origin or descent. Its first presentation, *Black Perspectives in the Arts*, features music, the visual arts (painting, sculpture, photography), filmmaking, and live performance. Due to protracted delays in grant payment, the First Water needed a loan to help cover project development costs for *Black Perspectives in the Arts*.

Loan Recipient

Ensemble Studio Theatre, Inc.
Contracting Agency
The Ford Foundation

Amount Loaned: \$3,500 Date of Loan: 7-21-78

Ensemble Studio Theatre (EST), an organization of approximately 200 professional theater artists, was formed to preserve and develop the resources of the professional theater, and to provide artistic and financial support for the individual theater artist. EST produces new American plays, and in the past season gave workshops, readings, and full performances of over 40 new works. Due to a cash flow difficulty that arose when a grant expected in July was deferred, EST needed a loan to help it meet operating expenses.

Loan Recipient

Foundation for Independent Video and Film, Inc.
Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$5,000 Date of Loan: 7-28-78

The Foundation for Independent Video and Film (FIVF) was founded in 1974 to stimulate artistic expression in the independent media and to carry out educational programs for independent film and videotape makers and the interested public. Because of its expertise in videotape filming, FIVF received a sub-contract from the Cultural Council Foundation (CCF) to videotape a portion of CCF's CETA Artists Documentation Project funded by the National Endowment for the Arts. A \$5,000 loan enabled FIVF to purchase, rather than rent at prohibitively high prices, the videotape equipment necessary for this project.

Loan Recipient

New Sculpture Workshop
Government Contracting Agency
NYC Youth Board

Amount Loaned: \$4,500 Date of Loan: 7-31-78

The New Sculpture Workshop operates a sculpture gallery for exhibition of the work of local artists and produces exhibitions of sculpture to be shown at schools, galleries, and other public places. In addition, it holds workshops for both beginners and experienced students working in clay, wood, ceramics, sand, wax, and other media. As a result of a delayed grant payment, a loan was necessary to enable the Workshop to cover operating expenses of its summer workshops for New York City children.

Loan Recipient

Jazz Heritage Society (through the Queens Council on the Arts)
Government Contracting Agency
NYC Youth Board

Amount Loaned: \$3,000 Date of Loan: 8-4-78

Jazz Heritage Society was established to preserve and to present jazz, and, by using contemporary music and dance, to help develop in the residents of Southeast Queens an understanding and appreciation of their culture. Due to payment processing delays, Jazz Heritage Society needed a loan to help cover the expenses of a series of concerts, dance presentations, and a talent show that it sponsors in local parks in the summer.

Loan Recipient

New York Street Theatre Caravan, Inc.

Government Contracting Agency

NY State Council on the Arts

Amount Loaned: \$5,000

Date of Loan: 8-9-78

The New York Street Theatre Caravan, a recipient of Fund loans in 1976 and 1977, brings its performances to audiences outside of the cultural mainstream in such places as migrant worker camps, prisons, labor union halls, and ghetto streets. Due to contract processing delays, a loan was needed to help New York Street Theatre Caravan cover the costs of its 1978 New York State summer tour.

Loan Recipient

Rheedlen Foundation, Inc.

Government Contracting Agency

NYC Criminal Justice Coordinating Council

Amount Loaned: \$7,000

Date of Loan: 8-9-78

The Rheedlen Foundation was established in 1970 to attack the problem of chronic truancy among the very young. Its PINS Diversion Program works with selected truants in School District 3 on Manhattan's Upper West Side. Extended delays in payment processing led Rheedlen to request a loan to help it meet payroll expenses of this program. Two previous loans were made to help Rheedlen weather similar delays in 1977 and 1978.

Loan Recipient

Dance Visions, Inc.

Government Contracting Agency

NYC Department of Cultural Affairs

Amount Loaned: \$1,000

Date of Loan: 8-18-78

Dance Visions is a non-profit corporation that seeks to provide a sound financial and administrative base for the Sounds in Motion Dance Company and Dance School, and to provide Harlem residents with exposure to and training in dance. Among its programs are special community dance workshops for both children and adults. Due to contract processing delays, a loan was needed to help cover the costs of these workshops. Dance Visions had previously received loans in July 1976 and January 1978.

Loan Recipient

Chinatown Planning Council, Inc.

Government Contracting Agency

NYC Criminal Justice Coordinating Council

Amount Loaned: \$8,000

Date of Loan: 8-28-78

The Chinatown Planning Council is a Chinese-American social service agency dedicated to meeting the needs of the residents of Chinatown. With a paid staff of over 200, the Council operates programs in many areas, including day care, employment, manpower training, education, and the arts. A loan of \$8,000 enabled the Council to meet the expenses of its Chinatown Youth Workers Consortium while it was waiting for a delayed contract payment.

Loan Recipient

Bronx River Restoration Project, Inc.

Government Contracting Agency

NY State Department of Environmental Conservation

Amount Loaned: \$7,500

Date of Loan: 8-28-78

Since it was founded in 1974, the Bronx River Restoration Project has been working to clean up the waters of the Bronx River, restore the land alongside its banks, and create parkland similar to that created in Westchester in the 1920s along the lower eight miles of the river located in New York City. For several summers, Youth Conservation Corps workers have been helping with these projects. Due to delays in the processing of final contract payment, a loan was needed to allow Bronx River Restoration to cover Conservation Corps project expenses. A loan was also made to this organization in December 1977.

Loan Recipient

Dennis Wayne's Dancers

Government Contracting Agency

National Endowment for the Arts and Tompkins

County Center for Culture and the Performing Arts

Amount Loaned: \$5,000

Date of Loan: 8-28-78

Dennis Wayne's Dancers was created to present new ballets by contemporary choreographers. Although the company is based in New York City, it brings contemporary ballet to areas of the country where it may not have been seen previously. Due to delayed payment of a grant for its work in New York State, Dancers needed the loan to help cover payroll and operating expenses.

Loan Recipient

**NYC Hispanic American Dance Company: Ballet
Hispanico of New York, Inc.**

Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$6,000 Date of Loan: 9-6-78

The Ballet Hispanico is a repertory dance company that performs, throughout the neighborhoods of New York City, classical flamenco dances, Latin American and Caribbean folk dances, and modern dance and jazz works by contemporary choreographers. It also provides dance training workshops, primarily for the children of New York's "barrios." Due to a delayed contract payment, the Ballet Hispanico needed a loan to cover the initial expenses of its workshop training program.

Loan Recipient

Hospital Audiences, Inc.

Government Contracting Agency
**NYC Department of Mental Health and Mental
Retardation Services**

Amount Loaned: \$7,500 Date of Loan: 9-6-78

Hospital Audiences provides cultural services to a variety of residents of New York City institutions, including hospitals, nursing homes, and prisons. As a result of contract payment delays similar to those that occasioned previous loans, Hospital Audiences needed a loan for its program to provide and evaluate cultural programs for residents of mental health and mental retardation facilities.

Loan Recipient

Urban Homesteading Assistance Board

Government Contracting Agency
**NYC Department of Housing Preservation and
Development**

Amount Loaned: \$10,000 Date of Loan: 9-8-78

The Urban Homesteading Assistance Board (UHAB), a Fund grantee, assists low and moderate-income New Yorkers in developing self-help solutions to their housing needs. For five

years UHAB has been providing technical assistance to sweat equity homesteaders; more recently it began assisting tenant groups that want to take over the management of their city-owned dwellings. Because initial contract payments were delayed, a loan was made to enable UHAB to begin work on a tenant self-management training course being developed for tenant groups accepted in the city's Tenant Interim Lease Program.

Loan Recipient

Spanish Theatre Repertory Ltd.

Government Contracting Agency
National Endowment for the Arts

Amount Loaned: \$9,700 Date of Loan: 9-29-78.

Spanish Theatre Repertory presents public performances of Spanish language productions in New York City and throughout the state, conducts workshops in the theatrical arts, and presents concerts and special events involving dance and poetry readings. Due to contract processing delays, Spanish Theatre Repertory needed a loan to cover salaries and operating expenses. Two previous loans had also been made to help Spanish Theatre Repertory through similar situations.

Loan Recipient

Hamilton-Madison House

Government Contracting Agency
**NYC Department of Mental Health and Mental
Retardation Services**

Amount Loaned: \$8,000 Date of Loan: 9-29-78

Hamilton-Madison House is a settlement house and community center serving the Hispanic, Black, Italian-American, and Chinese-American communities in lower Manhattan. It provides a wide variety of services for all age groups, including a mental health unit, day care, head start, and youth and adult programs. With support from the Department of Mental Health and Mental Retardation Services, Hamilton-Madison House moved its Chinese Mental Health Unit to a more suitable facility. However, because payment was delayed, Hamilton-Madison needed a loan to cover some of the expenses of the move.



CETA CONTRACT
MANAGEMENT

CASH FLOW
LOANS

SCORECARD

GREEN MARKET

URBAN
HOMESTEADING

HEALTH CARE
QUALITY
PROJECT

Vicki Kuper 1979



REPORT OF INDEPENDENT ACCOUNTANTS

To the Board of Directors of
Fund for the City of New York, Inc.

In our opinion, the accompanying balance sheets and the related statements of revenues, expenditures and changes in fund balances and of changes in financial position present fairly the financial position of the Fund for the City of New York, Inc. at September 30, 1978, 1977 and 1976, and the results of its operations and the changes in its financial position for the years then ended, in conformity with generally accepted accounting principles consistently applied. Our examinations of these statements were made in accordance with generally accepted auditing standards and accordingly included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

New York, New York
December 6, 1978

PRICE WATERHOUSE & CO.

FUND FOR THE CITY OF NEW YORK, INC. BALANCE SHEETS (note 1)

	September 30		
	1978	1977	1976
Assets			
Cash	\$ 51,415	\$ 78,440	\$204,627
Grants receivable	230,283	219,760	145,250
Prepaid expenses	4,824	2,279	2,037
Loans to civic and community organizations (note 2)	172,038	102,732	81,480
Leasehold improvements and equipment, at cost, less accumulated depreciation and amortization of \$1,511 in 1978, \$17,364 in 1977, and \$11, 132 in 1976	34,727	10,826	12,943
Security deposit	11,332	7,812	7,812
	<u>\$504,619</u>	<u>\$421,849</u>	<u>\$454,149</u>
Liabilities and fund balances			
Liabilities:			
Grants payable	\$157,733	\$171,764	\$164,433
Notes payable to bank (note 2)	375,000	50,000	
Accrued expenses payable	64,734	24,934	16,093
	<u>597,467</u>	<u>246,698</u>	<u>180,526</u>
Fund balances:			
Program fund (including \$110,000 in 1977 and \$100,000 in 1976 restricted by grantors for specific projects):			
Appropriated (note 4)	(52,814)	59,777	173,300
Unappropriated	(23,546)	121,147	96,034
	<u>(76,360)</u>	<u>180,924</u>	<u>269,334</u>
Administrative fund	(16,488)	(5,773)	4,289
Commitment (note 6)	<u>(92,848)</u>	<u>175,151</u>	<u>273,623</u>
	<u>\$504,619</u>	<u>\$421,849</u>	<u>\$454,149</u>

**FUND FOR THE CITY OF NEW YORK, INC.
STATEMENTS OF REVENUES, EXPENDITURES
AND CHANGES IN FUND BALANCES (note 1)**

	For the year ended September 30								
	1978			1977			1976		
	Program Fund	Adminis- trative Fund	Total all Funds	Program Fund	Adminis- trative Fund	Total all Funds	Program Fund	Adminis- trative Fund	Total all Funds
Revenues									
<i>Grants and contract awards</i>									
The Ford Foundation	\$ 815,000	\$ 185,000	\$ 1,000,000	\$ 835,000	\$ 165,000	\$ 1,000,000	\$ 925,000	\$ 175,000	\$ 1,100,000
NYS Department of Social Services	173,416		173,416	110,000		110,000			
Robert Wood Johnson Foundation							150,000		150,000
NYC Dept. of Parks and Recreation	9,885		9,885	50,463		50,463			
NYC Human Resources Administration, Dept. of Employment	9,935		9,935						
NYC Human Resources Administration	9,930		9,930						
NYC Dept. of Sanitation							98,000		98,000
NYC Dept. of Health Environmental Protection Agency							36,681		36,681
Florence Burden Foundation							30,000		30,000
N.Y. Community Trust				7,500		7,500	5,000		5,000
Commonwealth Fund				5,000		5,000			
Fund for New Jersey Coordinating Council for Foundations, Inc.	450		450	2,150		2,150	3,250		3,250
Bridgeport Area Foundation							750		750
Suisman Foundation							600		600
Other				3,742		3,742	559		559
	<u>1,018,616</u>	<u>185,000</u>	<u>1,203,616</u>	<u>1,013,855</u>	<u>165,000</u>	<u>1,178,855</u>	<u>1,254,840</u>	<u>175,000</u>	<u>1,429,840</u>
Miscellaneous Income (net of federal excise tax of \$31 in 1977 and \$56 in 1976) (note 3)				753		753	1,336		1,336
Total Revenue	<u>1,018,616</u>	<u>185,000</u>	<u>1,203,616</u>	<u>1,014,608</u>	<u>165,000</u>	<u>1,179,608</u>	<u>1,256,176</u>	<u>175,000</u>	<u>1,431,176</u>
Expenditures									
Grants approved, net	312,345		312,345	281,472		281,472	362,893		362,893
Fund-administered project costs	963,555		963,555	821,546		821,546	877,115		877,115
General and Administra- tive expenses (note 5)		195,715	195,715		175,062	175,062		177,520	177,520
Total expenditures	<u>1,275,900</u>	<u>195,715</u>	<u>1,471,615</u>	<u>1,103,018</u>	<u>175,062</u>	<u>1,278,080</u>	<u>1,240,008</u>	<u>177,520</u>	<u>1,417,528</u>
Revenues (under) over expenditures	(257,284)	(10,715)	(267,999)	(88,410)	(10,062)	(98,472)	16,168	(2,520)	13,648
Fund balances, beginning of year	<u>180,924</u>	<u>(5,773)</u>	<u>175,151</u>	<u>269,334</u>	<u>4,289</u>	<u>273,623</u>	<u>253,166</u>	<u>6,809</u>	<u>259,975</u>
Fund balances, end of year	<u>\$ (76,360)</u>	<u>\$ (16,488)</u>	<u>\$ (92,848)</u>	<u>\$ 180,924</u>	<u>\$ (5,773)</u>	<u>\$ 175,151</u>	<u>\$ 269,334</u>	<u>\$ 4,289</u>	<u>\$ 273,623</u>

FUND FOR THE CITY OF NEW YORK, INC.
STATEMENTS OF CHANGES IN FINANCIAL POSITION (note 1)

	For the year ended September 30		
	1978	1977	1976
Cash was provided by:			
Grants and contract awards	\$1,193,093	\$1,104,345	\$1,476,067
Miscellaneous income net of excise tax		753	1,336
	<u>1,193,093</u>	<u>1,105,098</u>	<u>1,477,403</u>
Cash was used for:			
Payments related to program activities:			
Grant payments	326,376	274,141	440,079
Fund-administered project costs	932,089	821,546	877,115
General and administrative expenses	179,678	159,989	175,877
	<u>1,438,143</u>	<u>1,255,676</u>	<u>1,493,071</u>
Deficiency of cash provided by revenues	<u>(245,050)</u>	<u>(150,578)</u>	<u>(15,668)</u>
Cash provided by (used for) changes in other assets and liabilities:			
Increase in bank loans (note 2)	325,000	50,000	
Increase in security deposits	(3,520)		
Sale of certificates of deposit			200,493
Purchase of property and equipment, net	(31,604)	(4,115)	(633)
Increase in loans receivable	(69,306)	(21,252)	(73,580)
Increase in prepaid expenses	(2,545)	(242)	(7)
	<u>218,025</u>	<u>24,391</u>	<u>126,273</u>
(Decrease) increase in cash	<u>(27,025)</u>	<u>(126,187)</u>	<u>110,605</u>
Cash, beginning of year	<u>78,440</u>	<u>204,627</u>	<u>94,022</u>
Cash, end of year	<u>\$ 51,415</u>	<u>\$ 78,440</u>	<u>\$ 204,627</u>

FUND FOR THE CITY OF NEW YORK, INC.

NOTES TO FINANCIAL STATEMENTS SEPTEMBER 30, 1978, 1977 AND 1976

NOTE 1: ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization

The Fund for the City of New York, Inc. (Fund) supports and administers creative public and private projects designed to improve the effectiveness of municipal government and the quality of life in the city of New York. The principal source of support for the Fund is an annual grant from the Ford Foundation. A portion of the grant is specified for support of general and administrative expenses of the Fund; the remainder is for program support.

The Fund also receives support from other sources which is usually restricted as to use by the donor.

Leasehold improvements and equipment

The Fund follows the practice of capitalizing all expenditures for capital assets. Depreciation and amortization are computed on the straight-line method over ten years for office furniture and equipment and the life of the office lease for leasehold improvements.

Revenue and expense recognition

Grants and contract awards are recognized when the Fund is notified and interest income is recognized when earned. Restricted grants received are used for the designated purpose of such grants. Grant expenditures are recorded when approved by the Board of Directors; project expenditures and general and administrative expenses are recorded when incurred.

NOTE 2: NOTES PAYABLE TO BANK

In 1976, the Fund instituted a program of offering short-term loans of up to \$10,000 to other New York City nonprofit organizations experiencing cash-flow problems due to delayed payments on government contracts.

To increase the size of this program and to finance current operations, during 1978 the Fund borrowed \$375,000 from two banks: \$150,000 with interest at the prime rate, payable November 3, 1978, which has been renewed for an additional three months subsequent to that date, and \$225,000 with interest at 3½ percent above the prime rate, which has been repaid on December 6, 1978. As of September 30, 1978, \$100,000 of the \$225,000 loan was guaranteed by the Ford Foundation. The Fund deducts a 1½ percent (one percent in 1977 and 1976) service charge on all loans made to defray the interest costs. Half of this charge is refundable if the loan is repaid within 2 months.

NOTE 3: TAXES

The Fund is exempt from federal income taxes under Section 501(c) (3) of the Internal Revenue Code and has been classified as a "private operating foundation" under the Tax Reform Act of 1969.

In accordance with the Tax Reform Act of 1969 and the Revenue Act of 1978, the Fund is subject to a 2 percent (4 percent in 1977 and prior years) federal excise tax on net investment income. The Fund did not have any net investment income in 1978.

NOTE 4: APPROPRIATED FUNDS

The appropriated portion of the program fund represents the unexpended balance of amounts approved by the Board of Directors for Fund-administered projects. The following is a summary of the appropriated program fund activity:

	September 30		
	1978	1977	1976
Balance, beginning of year	\$ 59,777	\$ 173,300	\$ 239,042
Add: Appropriations:			
Grants	314,541	298,754	390,678
Fund-administered projects	903,432	831,843	811,373
	1,217,973	1,130,597	1,202,051
Less: Fund-administered project and grant appropriations cancelled or returned	54,664	141,102	27,785
	1,163,309	989,495	1,174,266
Deduct:			
Grants approved, net	312,345	281,472	362,893
Fund-administered project disbursements	963,555	821,546	877,115
	1,275,900	1,103,018	1,240,008
Balance, end of year	<u>(\$ 52,814)</u>	<u>\$ 59,777</u>	<u>\$ 173,300</u>

NOTE 5: RETIREMENT PLAN

The Fund has a defined-contribution retirement plan which covers substantially all employees. Payments are made for premiums due under individual annuity contracts purchased for each member of the plan. Employees have the option of contributing additional premiums on their own behalf. Payments made by the Fund, which have been classified both as project costs and general and administrative expense, totaled approximately \$59,000 in 1978, \$57,000 in 1977 and \$56,000 in 1976.

NOTE 6: COMMITMENT

The Fund leases office space under an agreement expiring in 1988. The lease agreement provides for minimum annual rentals of approximately \$45,000 each year plus amounts for escalation factors. Payments under the lease agreements totaled approximately \$47,000 in both 1978 and 1977, and \$49,000 in 1976.

REPORTS ISSUED AND SUPPORTED BY THE FUND FOR THE CITY OF NEW YORK

The following publications have been issued by the Fund for the City of New York or supported with Fund grants. Those issued directly by the Fund are available from the Fund at \$2.50 per copy. Those issued by Fund grantees are not obtainable through the Fund, but should be secured through the institution involved.

CHILDREN AND YOUTH

Fund for the City of New York

From the Record: The Handling of Child Abuse Allegations in New York City, Kelman, M. and Weiner, S., July 26, 1977

Identifying High Risk Cases of Child Abuse and Neglect, Weiner, S., Band, R. and Goldfeld, R., February 1, 1979

Foster Care Tracking Project, *Final Report*, Wenglinsky, M. and Goldfeld, R., February 22, 1979

Time in Foster Care, Wenglinsky, M., June 1977

Grantees

Lower East Side Family Union, *Annual Report 1977, Annual Report 1978*, Alfred Herbert, Executive Director, Lower East Side Family Union, 91 Canal Street. New York, N.Y. 10002

EDUCATION AND EMPLOYMENT

Allocation of Tax Levy Funds to New York City High Schools—1975-1978, Wilner, R. and Comiskey, C., May 15, 1979, Educational Priorities Panel c/o Interface, 95 Madison Avenue, New York, N.Y. 10010

Analysis of the Mayor's Proposed Executive Budget for New York City Board of Education—1980, Litow, S. and Lebenstein, D., May 17, 1979, Educational Priorities Panel, c/o Interface, 95 Madison Avenue, New York, N.Y. 10010

ENERGY AND EMPLOYMENT

An Assessment of New York City Transportation Service and Its Impact on Business and Health, Goldstein, E., ed. 1977, Natural Resources Defense Council, 122 East 42 Street, New York, N.Y. 10017

Project on Urban Transportation: Annual Report 1978, Natural Resources Defense Council, 122 East 42 Street, New York, N.Y. 10017

Innovations in Transportation: Solutions to New York City Mobility Problems, Jurow, S., Tompkins, M.E. and Goldstein, E.H. May 1979, Natural Resources Defense Council, 122 East 42 Street, New York, N.Y. 10017

A New Direction in Transit: A Report to Mayor Edward I. Koch from Robert F. Wagner, Jr., Chairman of the City Planning Commission, Chudd, R (NYSDCP), Schoenbrod, D. and Sandler, R. (NRDC) January 1979, New York City Department of City Planning, 2 Lafayette Street, New York, N.Y. 10007, or Natural Resources Defense Council, 122 East 42 Street, New York, N.Y. 10017

CRIMINAL JUSTICE

Criminal Sentencing in an Uproar: A Discussion of Sentencing Issues in New York State, Rudenstine, D., Fall of 1979, New York Civil Liberties Union, 84 Fifth Avenue, New York, N.Y. 10011

The Rights of Ex-Offenders, Rudenstine, D., Avon Press or New York Civil Liberties Union, 84 Fifth Avenue, New York, N.Y. 10011

FISCAL ISSUES

Local Finance Law Project: Proposals to Strengthen Local Finance Laws in New York State, November 1978, The Association of the Bar of the City of New York, 42 West 44th Street, New York, N.Y. 10036

The City in Transition: Prospects and Policies for New York City, June 1977, Temporary Commission on City Finances, Arno Press, 3 Park Avenue, New York, N.Y. 10016

HOUSING, PLANNING, AND DEVELOPMENT

Fund for the City of New York

Welfare Housing Proposal, Goldfeld, R. and Nager, A., March 1978

Grantees

City Limits, newsletter, Association of Neighborhood Housing Developers 115 East 23 Street, New York, N.Y. 10001

STATE AND REGIONAL ISSUES

Fund for the City of New York

The Need for a Major Overhaul of the Tri-State Regional Planning Commission, McManus, M.J., March 29, 1977

Grantees

Empire State Report, monthly magazine, Empire State Report, 17 Lexington Avenue, New York, N.Y. 10010

HEALTH CARE

Fund for the City of New York

The Use of Protocol-Charts in a Pediatric Outpatient Department Heidt, S. and Cook, C.D., MD., April 1979

Protocol Guidance in the Assessment of Ischemic Heart Disease Lonergan, E.T., MD., Adler, K.P., MD., Heidt, S., and Seisedos, S., April 1979

Standards for the City's Home Care Program, Breslin, S. and Heidt, S. June 1978

Assessment of the Quality of Care in 22 New York State Health Care Facilities, Fried, A., Ruth, H., and Heidt, S., September 1978

Proposal for a System of Monitoring for Nursing Home Facilities, Heidt, S., Dickstein, P. and Kelman, M., January 1977

STREETS, SIDEWALKS AND PARKS

Fund for the City of New York

Productivity Gains from Diversifying the Sanitation Truck Fleet in New York City: A Cost and Performance Analysis of Alternative Refuse Collection Vehicles in Different Parts of the City with Recommendations for Operational Change, December 1977

Evaluation and Improvement of Project Scorecard: A Continuous Monitoring System for Urban Sanitation Services, Shaver, P., July 1977

CASH FLOW LOANS

Fund for the City of New York

Paying the Piper, The Painter and the Playwright: Improvements in Contract Processing at the New York State Council on the Arts, Monheim, C. and Hayes, F.O'R., May 1978

Getting Paid: The Cash Flow Problems of Non-Profit Criminal Justice Agencies in New York City, Hayes, F.O'R. and Monheim, C., April 1978

FAMILY
UNION
PROJEC

ER EAST SIDE

SENTENCING
AND PAROLE

SANITATION CODE
ENFORCEMENT

CHILD WELFARE
INDICATORS AND
FOSTER CARE
TRACKING

CHILD ABUS
AND NEGLEC
STUDIES